DOCUMENT RESUME

ED 214 409 HE 014 520

AUTHOR	Ayre, David, Ed.; And Others
TITLE	Resource Handbook on Manpower Flexibility Options in Ontario Universities.
INSTITUTION	Ontario Inst. for Studies in Education, Toronto.
PUB DATE	Jan 81
NOTE	427p.; Not available in paper copy due to marginal legibility of original.
AVAILABLE FROM	Higher Education Group, OISE, 252 Bloor St., W. Toronto, Ontario M5S 1V6, Canada ($35.00).
EDRS PRICE	MF01 Plus Postage. PC Not Available from EDRS.
DESCRIPTORS	Career Change; *College Faculty; Faculty College Relationship; Faculty Development; Faculty Mobility; *Faculty Workload; Higher Education; *Labor Force Development; Labor Utilization; Networks; *Personnel Policy; *Reduction in Force; Retirement Benefits; Retraining; Staff Utilization; Teacher Retirement; Teacher Welfare; *Teaching (Occupation); Tenure

ABSTRACT

Manpower flexibility options in Ontario universities during times of financial restraint are discussed in this handbook, which resulted from a seminar that examined: (1) various approaches to problems related to anticipated academic staff reduction; (2) issues associated with policy development and implementation; and (3) establishing an informal network of Ontario university individuals currently interested in and/or knowledgeable about manpower flexibility options. Areas examined are: early retirement, reduced workload, shared workload, retraining/transfers, and exchanges. Supplementary materials include: "Review" (M. von Zur-Muehlen); "Academic Careers in a Time of Recession" (J. S. Small); "Helping Professors Grow" (S. K. Bailey); "Changing Retirement" (Corwin et al.); "Early Retirement" (McGill University); "Teaching Staff Report" (Trent University); "Faculty Retraining in Four States" (C. B. Neff); "1982 Committee Academic Career Planning" (Carleton University); "Are Professors Recyclable?" (R. S. Wilson); "Presidential Committee Report--Faculty Development" (University of Western Ontario); and "Retirement and Pension" (E. D. Maher). The Handbook, to be revised periodically, is designed to be of use to other institutions in responding to the need for manpower flexibility. (LC)

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RESOURCE HANDBOOK ON MANPOWER FLEXIBILITY OPTIONS IN ONTARIO UNIVERSITIES

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Published, January 1981, by

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TABLE OF CONTENTS

1 Introductory Material

2 Early Retirement

3 Reduced Workload

4 Shared Workload

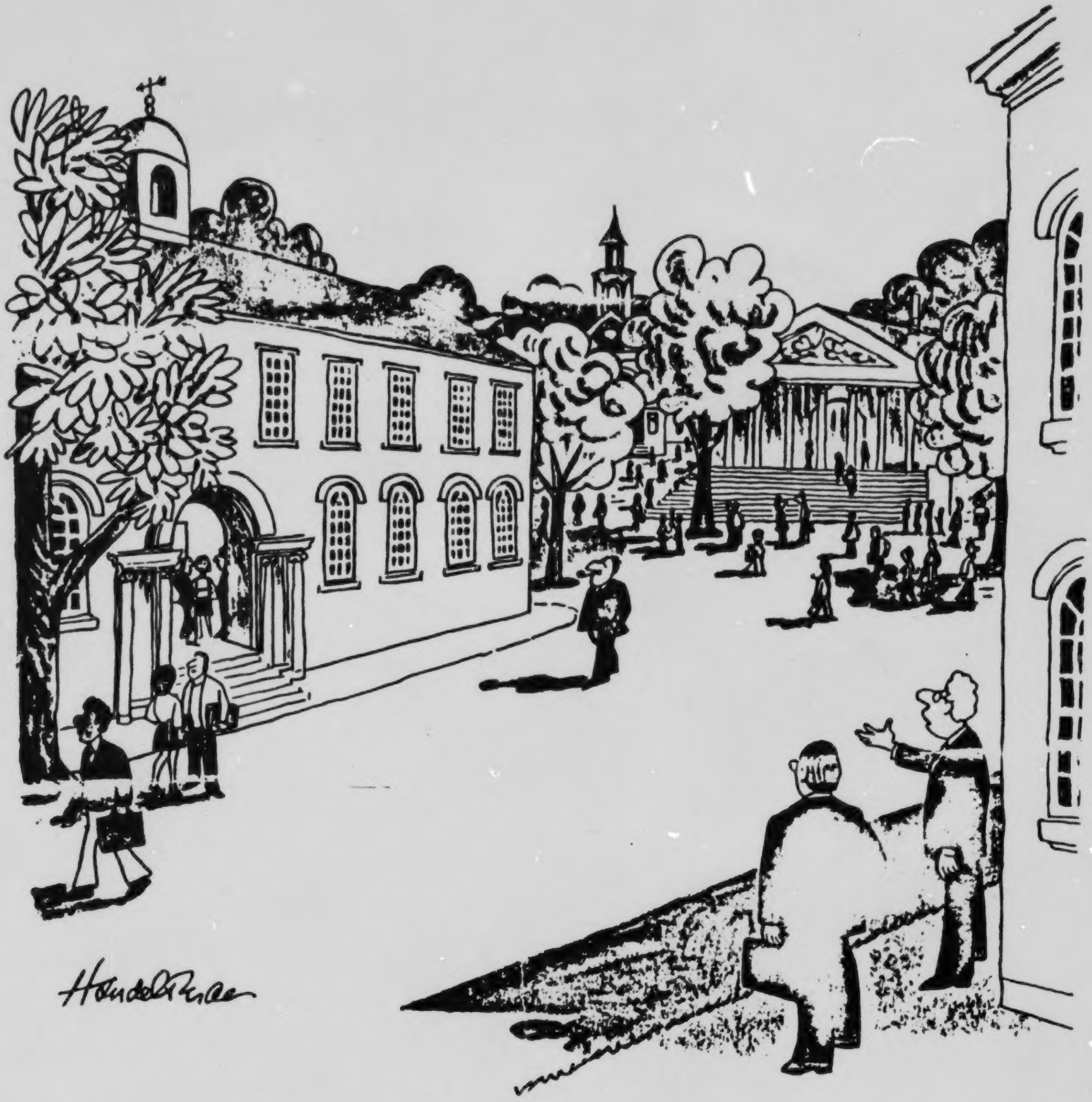
5 Retraining/Transfers

6 Exchanges

7 Other

8 Supplementary Material

- Review (M. von Zur-Muehlen)
- Academic Careers in a Time of Recession (J. S. Small)
- Helping Professors to Grow (S. K. Bailey)
- Changing Retirement (Corwin *et al.*)
- Early Retirement (proposed scheme) (McGill University)
- Teaching Staff Report (Trent University)
- Faculty Retraining in Four States (C. B. Neff)
- 1982 Committee Academic Career Planning (Carleton University)
- Are Professors Recyclable? (R. S. Wilson)
- Presidential Committee Report - Faculty Development (University of Western Ontario)
- Retirement and Pensions (E. D. Maher)



"There goes Professor Wagner, whose weak scholarship is balanced by his mighty tenure."

INTRODUCTION

In facing the problems created by shrinking resources and declining enrolment, the Ontario Institute for Studies in Education, along with Ontario universities, is vitally concerned with dealing effectively with the problems of manpower flexibility. We view the situation as a complex array of issues including, but not limited to, curricula flexibility, faculty retraining, special leave provisions, second career opportunities, redundancy issues, and retirement policies.

While the specific solutions to these problems will ultimately have to be dealt with by the institutions themselves, we think that Ontario universities could well be of assistance to one another in this area by sharing their knowledge and experience. We acknowledge that there is a need to develop solutions to the manpower flexibility needs of academic support staff as well as faculty within our institutions; however, in order to focus the problems, this seminar which led to this handbook considered only the issues related to our academic staff.

The seminar objectives were:

- -- To discuss various approaches to problems related to anticipated academic staff redundancy.
- -- To raise, clarify, and discuss issues associated with policy development and implementation.
- -- To establish an informal network of Ontario university individuals currently interested in and/or knowledgeable about manpower flexibility options.

The following case studies were presented by institutions with experience in developing and implementing a particular manpower flexibility policy.

Early Retirement	*Chair:*	*Dr. W. C. Winegard*
	Case Study:	*Mr. W. F. Trimble* *University of Western Ontario*
Reduced Workload	*Chair:*	*Dr. E. J. Monahan*
	Case Study:	*Dr. David J. Brown* *Carleton University*
Retraining/Transfer	*Chair:*	*Dr. David Inman*
	Position Paper on Retraining:	*Ms. Janet Scarfe* *Higher Education Group, OISE*
	Case Study:	*Mrs. Lou Lewis* *Ryerson Polytechnical Institute*

Other Options

Chair: *Professor D. F. Forster*
Case Study: *Dr. Howard C. Clark*
Guelph University--
Shared Appointments

The following individuals participated in the seminar:

Brock University	- Dr. Alan J. Earp, President
	- Professor G. E. Dirks Chairman, Department of Politics President, Faculty Association
Carleton University	- Dr. W. E. Beckel, President
	- Dr. David J. Brown Assistant Vice President (Academic)
	- Professor Muni Frumhartz President, Academic Staff Association
University of Guelph	- Professor D. F. Forster, President
	- Dr. Howard C. Clark Vice President (Academic)
	- Professor D. W. Stanley President, Faculty Association
Laurential University	- Dr. Walter Schwager Dean of Social Sciences
	- Dr. Richard Schell, Faculty Association
McMaster University	- Dr. Leslie J. King Vice President (Academic)
	- Dr. M. W. Kristofferson, President Faculty Association
Ontario Institute for Studies in Education	- Dr. Lynn Davie, Assistant Coordinator Graduate Studies
	- Dr. Les McLean, Chairperson Faculty Association
	- Dr. John Mallea Assistant Director (Academic)
	- Dr. Charles Pascal, Chairman Higher Education Group
	- Dr. Clifford Pitt, Director
Université d'Ottawa	- Mr. P. Lacombe, Assistant Vice Rector Staff Relations
	- Dr. John Thorp Department of Philosophy

Queen's University	- Dr. R. L. Watts, Principal
	- Professor Peter Hennessy, President Faculty Association
Ryerson Polytechnical Institute	- Mr. Walter Pitman, President
	- Mr. Terry Byram Department of Social Sciences
	- Mrs. Lou Lewis Centre for Instructional Development
University of Toronto	- Professor W. G. Saywell, Vice Provost
	- Professor Michael Finlayson, President Faculty Association
Trent University	- Professor R. D. Chambers, Vice President
	- Professor David Kettler, Chairman Association of the Teaching Staff
University of Waterloo	- Dr. B. C. Matthews, President
	- Professor R. N. Dubey Department of Mechanical Engineering
University of Western Ontario	- Dr. B. J. Shapiro Vice President (Academic)
	- Dr. Susan Pepper, Assistant Dean Faculty of Social Sciences
	- Mr. W. F. Trimble, Director Personnel Department
Wilfrid Laurier University	- Dr. Neale H. Tayler, President
	- Dr. James Harkins, Chairman History Department (Former President, Faculty Association)
University of Windsor	- Dr. John W. McAuliffe Vice President (Academic)
	- Mr. John M. Lynch, Assistant Vice President Staff Relations
York University	- Mr. Sheldon Levy Employee and Student Relations
	- Professor Allan Stauffer, Chairman Faculty Association
Ministry of Colleges and Universities	- Mr. Benson Wilson, Assistant Deputy Minister University Affairs
	- Mr. Peter Wright University Affairs Officer
Council of Ontario Universities	- Dr. E. J. Monahan, Executive Director
	- Mr. Edward DesRosiers, Director of Research

KEY TO HANDBOOK CONTENTS

Policy Institutions	Early* Retirement	Reduced Workload	Shared Appointments	Retraining/ Transfers	Exchanges	Other
BROCK						
CARLETON		θ		θ		
GUELPH	Y	θ	θ			
LAKEHEAD						
LAURENTIAN						
McMASTER	Y	Y**				
OTTAWA	Y			θ		
QUEEN'S	Y	θ		Y		
TORONTO		θ				
TRENT	Y	Y	Y	Y	0	Y
WATERLOO		θ				
WESTERN	θ	Y	Y	Y	Y	Y
WILFRID LAURIER		θ				
WINDSOR	Y	Y	Y	θ		
YORK	Y					
RYERSON	θ	θ	θ	θ		
OISE				θ		

* We refer here to plans of recent design intended to encourage policy usage.

CODE

θ	Policy papers enclosed
0	Policy; no papers available
Y	Policy under consideration

** Awaiting government approval

INSTITUTIONAL CONTACTS

CARLETON	Dr. David J. Brown Assistant Vice-President (Academic)	
GUELPH	Mr. J. E. Hurst Special Assistant to the Vice President Administration Telephone	
McMASTER	Dr. L. J. King Vice President, Academic	
OISE	Mr. D. Gillis Executive Assistant to Director	
OTTAWA	Mr. P. Lacombe Assistant Vice Rector, Staff Relations	
QUEEN'S	Mr. M. W. Wright Director of Personnel Services	
RYERSON	Mr. J. J. Rolian Director of Personnel	
TORONTO	Mr. W. E. Danby Personnel Department	
TRENT	Professor D. Gallop Dean of Arts and Science Lady Eaton College Trent University	second careers trensfers/retraining reduced workloads
	Professor R. Edwards Department of Biology Trent University	Staff Benefits Committee
WATERLOO	Mr. E. S. Lucy Director Personnel Department	

WESTERN	Mr. W. F. Trimble Director Personnel Department
WILFRID LAURIER	Dr. J. A. Weir Vice President, Academic
WINDSOR	Mr. J. M. Lynch Assistant Vice President Staff Relations
YORK	Dr. William Found Vice President (Academic)

EARLY RETIREMENT

TRENT

WESTERN

Trimble Paper

RYERSON

Page 4.1
Newsletter #8

EXHIBIT 4

Introduction to Financial Necessity, Programme Redundancy, Voluntary Early Retirement and Sabbaticals and Leaves

In normal circumstances, continuing academic appointments can be terminated by the University only on academic grounds (denial of tenure) or on the special grounds that justify "dismissal for cause". Tenure, in particular, is the most important bond between the University as an institution and the academic staff who, above all others, constitute in full academic freedom the life-activity of the University, to whom the fate and excellence of the University are entrusted, and who are the primary agents of the University's social and civilizing function.

It is inconceivable and intolerable that the University would forcibly break this bond in any but the most extraordinary circumstances where its own continuing survival was threatened. Nevertheless, in the context of the currently evolving economic climate and the shift in official social priorities, it is anticipated that universities may come to take just such a step and to reduce their complement of academic appointments for (non-academic) budgetary reasons. Without doubt, most universities would undertake such self-mutilation only with deep reluctance and grave regret; and equally without doubt, universities need appropriate procedures to protect the individual and collective rights and prerogatives of the University and its academic staff under emergency circumstances. It is the responsibility of the faculty association and the administration jointly to adopt precise and equitable procedures to govern potential emergencies; indeed, many universities have preceded our own in so doing.

Two points should be emphasized:

a. The A.T.S. is opposed to lay-offs.
b. The A.T.S. is committed to the University.

In other words, if the A.T.S. has developed procedures to govern reductions in academic appointments for budgetary reasons, it has done so neither because it condones lay-offs, nor because it wants to impede adaptation of the University to the necessities bearing on it. On the contrary: it is precisely the best interests of individual faculty, the academic units, and the University as a whole that appropriate procedures are designed to protect, and it is in everyone's best interests that any potential termination of continuing academic appointments should not be a matter merely of administrative discretion and budgetary convenience. Lay-offs, if they are ever to happen, and the dramatic breach of tenure that is involved, should not be decided out of panic, miscalculation, or manoeuvring, should not be allocated without the full play of academic values, and should not be implemented without due concern for civil liberties nor without reasonable compensation. At a minimum, it would be in everyone's best interests, if emergency measures were to be invoked:

a. that the validity and scope of the emergency and its compelling requirements should be thoroughly and reliably investigated and precisely established.

EXHIBIT 4

b. that the budgetary remedies for the emergency should be applied under the guidance of the University's academic priorities with a view to past practices and future developments, and that due process ensuring both democratic discussion and decision and the protection of the rights and divergent options of academic units and of individuals, should be observed at all stages in the distribution of the budgetary remedies, and

c. that the implementation of lay-offs or work reductions should be accompanied by viable severance provisions, including reasonable procedures for redeployment, retraining, and recall.

Very few of the necessary procedures could be properly developed in the midst of a full-blown emergency; and without precise and equitable procedures that could guarantee the legitimacy of the emergency and of the measures invoked to deal with it, not only would the academic staff be left without due protection, but also the University would be likely to have very much more difficulty surviving the emergency and flourishing thereafter.

Programme redundancy, in contrast to financial necessity, involves an academic decision to terminate a programme or department in whole or in part. Often the grounds for this are enrolment shortfalls. In general, at the back of programme redundancy there lies a planning miscalculation. If people have been hired and tenured in the context of specialized education, the University cannot then simply take the position that it was all a mistake and fire people. Individuals who have been granted continuing appointments on academic grounds have a right to keep their jobs. It may be that, for its part, the university has the right to redeploy individuals from one academic area to another (within a framework of academic reason, due process, and natural justice). This may involve some retraining of individuals which will need to be generously funded by the University which is demanding that people turn themselves into something new. If, under special and very limited circumstances, all this must result in a separation between an individual and the University, the notice and severance provisions must offer adequate compensation, and can be fuller than the provisions that an overall financial crisis would permit without further aggravating the crisis.

On the positive side, the voluntary early retirement and voluntary leave provisions are designed to provide aid and incentives both for individual career options and for alleviating the financial burdens of the University. An attention to these areas combined with generous severance provisions that might facilitate voluntary career alternatives, all in the context of due process and just procedures and governing criteria, may just see us through the most difficult period in some sane and humane fashion. At any rate, all these appear at this time to be essential provisions, within the larger context of a continuing overall effort to improve the quality and integrity of the academic enterprise.

John Fekete,
Chairman, A.T.S.

November 1978

EXHIBIT 7

Voluntary Early Retirement

Voluntary early retirement schemes are not unusual in government, business, or the armed forces. At present, O.S.S.T.F., O.C.U.F.A., and a number of universities are investigating proposals similar to the one outlined here. The ability of an individual to opt for early retirement depends not only on the scheme available but on individual circumstances. In general, voluntary early retirement does assume that the individual has alternative employment, a second career. The purpose of the scheme is to protect and enhance the pension rights already built up, so that voluntary termination of employment does not involve severe loss of these rights, and eventual financial hardship.

We are specifically concerned with an existing provision in the Trent pension plan that permits retirement at any time after age 55. In practice, this provision is a strong disincentive to seek alternative employment, let alone to take early retirement; there is a severe reduction in the amount of pension, accompanied by inflationary erosion of the reduced pension (see section 2 below).

But it is possible to introduce more flexible retirement provisions that would enable some faculty to take either complete or partial early retirement, on an entirely voluntary basis, with much greater protection for their pension income than now exists. This can be done without financial cost to the University; at the same time, it can present an opportunity to hire younger faculty, should replacements be necessary. The scheme set out below is based on the existing pension plan, and on the existing leaves policy.

1. Summary of the Proposal

Under this proposal, known as a Voluntary Early Retirement Scheme, the faculty member ceases to be employed by the University; that is, probably takes alternative employment. The intent of the scheme is to increase the opportunity for a second career, and to enable a person to defer drawing a Trent pension until normal retirement age.

The central point of the proposal is that the University assumes the full cost of pension premiums, that is, the individual's share as well as the University's share. This means that for each year up to age 65, the individual though no longer on salary, acquires an extra year's service for purposes of pension entitlement. The annual premiums are not fixed but are subject to upward adjustment that will reflect increases in

EXHIBIT 7

salary scales between the date of early retirement and age 65. For pension calculation purposes, the best 5 of the last 10 years of service will be in respect of the age range 55 to 65, rather than the ten years prior to early retirement.

It should be noted that the option of taking a reduced pension prior to age 65 remains. However, the early retiree will now benefit by the extra years of pension credit acquired under this proposal, as well as by any potential upward adjustment in salary levels that occur between the date of early retirement and the date that the person decides to draw the Trent pension.

If this proposal is to become available to academic staff, the University would, presumably, wish to extend similar flexibility to non-academic staff.

2. Early retirement under the existing pension plan

A member of the Trent plan can opt to retire at any time after age 55. Disregarding Canada Pension, the pension payable is determined by the number of years of service at Trent, multiplied by 2 percent of the average salary of the best five of the last ten years.[1] Retirement at 55 means that the best five years occur between 45 and 55. Also, the pension payable is reduced by half of one percent for each month of early retirement; this is known as the actuarial reduction. Thus, at age 55, the pension is reduced by sixty percent, the reduced pension is based on salary prior to age 55, and on pensionable service prior to 55. Although the University has recently introduced a modest supplementary pension, it is not known to what extent the resulting percentage increase in the amount of Trent pension will consistently keep pace with the percentage rise in the cost of living. In any case, the supplementary pension does not compensate for increases in salary levels, and future associated pensions, that occur after the date of early or normal retirement. The financial burden of early retirement under the present provision of the pension plan is illustrated in section C of the Appendix.

3. A proposal to facilitate complete early retirement

Assume that a faculty member is age 58; under the current salary grid, the salary might be approximately $38,000 (D23), plus perhaps 10% in staff benefits. If this person were to be interested in either full or part time alternative employment, probably at a considerably lower salary, the Trent salary is only likely to be voluntarily surrendered if the Trent pension can be protected. It is proposed that the University continue to pay the full (individual plus university) pension contributions to the Trent plan; to do this would cost approximately $4,000 a year. Years of pensionable service would continue to accumulate until age 65, when the person would receive a full pension based on years of service to age 65, and on 2 percent of the appropriate salary for a person at D23 at that time. The $4,000 annual contribution to the pension fund will increase in step with any salary increases, as it does for a faculty member who continues full-time teaching to age 65.

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[1] The Trent pension plan alone provides for a pension of 1% of final average earnings up to the maximum salary level on which Canada Pension Plan contributions are required, and 2% of final average earnings beyond that level, all multiplied by a member's years of service.

In addition, it is proposed that the early retiree continue to receive an annual sabbatical credit. Existing policy provides for a double credit in the 60th year with no credit during the last two years before normal retirement age. In the example discussed here, the early retiree would receive six credits by age 65; at 10 percent of salary this provides an income of $3,800 per year.

The third element of the proposal is that any sabbatical credits that may have been accumulated up to the date of early retirement be paid in a lump sum, if the individual so wishes, either as a retirement benefit or as a long service benefit. For example, if 9 such credits had been accumulated, full salary for one year could be transferred to an Income Averaging Annuity Certificate that is likely to provide an income of about $6,000 per year for the seven years to age 65. In addition, there is the $3,800 annual income from the annual EYS credits mentioned above. Some individuals may wish to use their accumulated EYS credits in the usual way, as income received in one year; others may wish to negotiate some other method of pay out for their EYS credits. A detailed example of the financial aspects is to be found in the Appendix.

4. Partial early retirement

Some faculty are interested in partial early retirement. For the purpose of this proposal, let us assume that faculty age 55 and over be given the option of a half work load with half salary. Of course, a two-thirds load or a one-third load are among other possibilities. The meaning of a partial load is not entirely clear, but we assume that this can be agreed among the individual, the Department and the Dean. Applying the proposal discussed in section 3 above to a partial early retirement of one half load, the individual would receive a salary of $19,000 (half of D23), plus a full sabbatical credit

EXHIBIT 7

in the usual way. In addition, the University would continue to pay pension and other benefit contributions, including the individual's share, in respect of the $19,000 salary foregone. Again, a partial replacement may or may not be necessary, but there is no reason not to expect a net saving to the University.

5. Cost to the University

Under this proposal, the University incurs an annual cost, in the case of the complete early retirement example of section 3 above, of approximately $4,000 for pension contributions. In addition, there is the cost of $3,800 for sabbatical credit. There may or may not be the cost of a partial or full replacement for one or more years, for the early retiree. The University may wish to insist that an early retiree be replaced, if replacement is necessary, by a junior, or sessional, or part time person depending on the circumstances of the Department and the University. Whatever the actual magnitude of these costs in an individual case, including administrative costs, there is no doubt that they are more than offset by the fact that the University ceases to pay a salary of $38,000 plus associated benefits. Costs are explored more fully in the Appendix attached.

The potential additional costs in the future associated with possible salary increases, that is, maintaining pension and sabbatical credits in real terms relative to those of faculty members who continue in full time employment with the University, have to be taken into account. However, the time period involved is unlikely to average more than five years, and the savings to the University of this proposal are so substantial that this potential additional cost is also likely to be more than offset. In any case, costs and savings to the University must be related to salary and benefits costs had a faculty member continued at Trent on full load and full salary, not to salary costs before or at the date of early retirement.

6. Conclusion

For faculty age 55 and over, the proposal offers some flexibility in career and retirement planning. For Departments and the University, it represents an opportunity to hire younger, less expensive, faculty. Despite the potential cost of linking pension contributions for the early retiree to future possible salary increases, albeit for a limited period, the proposal ensures a financial saving to the University when compared with salaries and benefits that would have to be paid if early retirement continues to be strongly discouraged by the existing pension plan.

EXHIBIT 7

It should be stressed that this proposal is subject to revision as its relevance to other possible changes in employment conditions at Trent become clearer, and as details become available of similar schemes for the teaching profession generally.

It would appear that because this scheme is of a short-term nature for the individuals involved, and because the costs are known, it would be preferable to finance it from the general revenue of the University rather than negotiate amendments to the pension plan. With the onset of early retirement schemes in school boards it seems likely that such schemes in the public sector will be eligible for provincial funding.

Postscript

(a) Since the above was written, it now seems likely that several Ontario universities will confirm that upon termination of service, all pension contributions, less CPP, paid by the member and the University, plus earned interest and pro rata outstanding contributions of any funding deficiency, will be available to the member to transfer to any legal saving vehicle of the member's choice. Until recently there has been some obscurity about this option. This is a significant option for faculty who wish to retire early because it permits maximum flexibility in individual pension and retirement planning.

(b) At the University of Toronto pensions of retired faculty are now indexed to salary floor increases. This is a long overdue change that must eventually become general practice, including Trent.

(c) At Western the actuarial reduction is to be removed at age 58; although not confirmed, this was expected to be effective 1 July, 1978.

Recommendations:

1. That Trent University adopt the voluntary early retirement scheme described in this document.
2. That the pensions of retired faculty and library professional staff be indexed to salary floor increases.

November 1978

18

10

EXHIBIT 7

APPENDIX (1977-78 salary levels)

A. Financial aspects of complete early retirement:

i) Payments to or on behalf of the individual opting for early retirement under this proposal, e.g. at age 58.

If an earlier age for early retirement, say 55, is selected, the potential saving to the University is somewhat larger; complete early retirement at a later age, say 61, somewhat reduces the saving to the University.

1. Annual pension fund contribution	$4,000
2. Payment in lieu of EYS, annual	$3,800

ii) Payments to a replacement. An early retiree will not inevitably require a replacement but if a replacement is necessary, it will normally be at a junior level; also, a replacement may not be necessary each year.

Assume replacement, full time, at BO	($16,350)
plus 10% benefits, i.e. approximately total cost.	18,000

iii) Salary and benefits if senior faculty member continue full time; $38,000 plus $3,800 staff benefits, i.e. approximately $41,800 total cost.

iv) Net saving to the University, $16,000 each year, i.e. $41,800 (iii) less payments $7,800 (i) and $18,000 (ii).

This saving continues annually to age 65, unless the early retiree decides to take a reduced Trent pension. In that circumstance, the University will replace (to the extent that it is necessary to hire a full time replacement) a senior faculty member with a younger person at a significantly lower salary.

B. Financial effects of partial early retirement:

Assume age 55, salary D20 ($37,225 plus 10% benefits)

i) Salary and benefits if faculty member had continued full time; $37,225 plus $3,725 (total $40,947)

EXHIBIT 7

ii) If half time, half salary plus benefits as in (i) Entitlement to full EYS continues as under (i); $18,612 plus $3,725 (total $22,337)

iii) Cost of replacement; this can range from zero to half salary for an Assistant Professor; although it may not be necessary in every year, assume half of BO plus 10%, i.e. $9,000.

iv) Net saving to the University, $9,610 per year.

C. Comparison of complete early retirement under existing provision of Trent pension plan and under change proposed in this paper

i) Present pension plan; complete early retirement at age 58 after 18 years service; salary D23. Trent pension calculated as per footnote page 2 above (different age, service, salary yield different results);

- approximately $6,900 per year at age 58
- approximately $11,900 per year if deferred until age 65

ii) Age, service, and salary level as in C(i) but applied to proposal of this paper:

- approximately $6,900 if taken at age 59; that is, no change from results under (1);

- approximately $16,500 per year if deferred to age 65; this assumes constant salary scales; if salaries and benefits adjusted upwards the pension at 65 will reflect these increases; this is not the case for early retirement under the present pension plan.

- approximately $13,500 if deferred to age 63; in this case, the person retiring at 58 might take other employment (full or part time), might have used accumulated EYS to purchase a five year I.A.A.C. which together with the annual EYS equivalent and R.R.S.P. might have provided adequate income to age 63. The C.P.P. and OAP become available at 65 and are additional to the Trent pension.

RECOMMENDATIONS ON
ALTERNATIVE CAREER OPPORTUNITIES, RETENTION & DEVELOPMENT OF FACULTY
(ACORD)

prepared by
The Office of the President
and
The University of Western Ontario Faculty Association

18 March 1980

Introduction

Following the publication of the Report of the Presidential Committee on Faculty Development (Pepper Commission), and the review of the report by the Joint Committee of the Administration and the Faculty Association, the Administration and the Faculty Association have agreed to propose jointly to Senate the adoption of the recommendations specified below.

Recommendations

1. Reduced Responsibility Policy

That in order to enable full-time tenured faculty members to alter their existing full-time arrangement with the University, a Reduced Responsibility Policy, as outlined in Appendix A , be adopted.

2. Professor Emeritus Title

That faculty members taking early retirement under the new Early Retirement Compensation Plan be eligible for the privileges awarded to the status of Professor Emeritus on the recommendation of the faculty concerned. That the current procedure for the awarding of the title of Professor Emeritus be applicable to the above faculty members. The policy relating to the privileges and title of Professor Emeritus for persons who retire under the new Early Retirement Compensation Plan will be reviewed in three years.

3. Full-Time Administrative & Counselling Staff Positions

That a faculty member electing to accept a full-time administrative or counselling staff position within the University be permitted a period of up to two years during which he/she would retain his/her tenure. Both faculty and tenure status would, however, be given up at the end of the negotiated transitional period. During this period, the faculty member could indicate in writing to the Vice-President (Academic) on three months' notice that he/she wished to return to the former academic rank and position in the next academic year.

4. Educational Leave - Alternative Training

That in order to provide the opportunity for certain faculty members to build new academic careers based on their experience but qualifying them to function in another academic area or discipline, an educational Leave for Alternative Training Policy, as outlined in Appendix B, be adopted. (1)

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(1) The amended terms of reference of the ADF provide for the funding--where necessary--of replacements for faculty members on leave for alternative training. It is noted that a large number of such requests would exert an undue drain on the ADF, and it is suggested that the number of funded leaves for alternative training be subject to a ceiling to be defined by consultation between the Chairman of the Senate Leave Committee, SUPAD, and the Vice-President (Academic).

5. Sabbatical Leave Remuneration

That the upper limit for total remuneration from salary and external sources be raised to 125% of salary plus travel expenses where justified.

In exception circumstances, a higher figure might be recommended by the Senate Leave Committee and will be subject to the approval of the Vice-President (Academic).

6. Sabbatical Leaves After Three Years

That a six-month sabbatical at 75% salary after three years of service be made available but only a) in exceptional circumstances, b) at the discretion of the Dean and the Vice-President (Academic), and c) for tenured members of the faculty.

7. Exchange Leaves - Policy

That an Exchange Leave Policy, as outlined in Appendix C, be adopted, it being understood that the role of the central administration will be limited to a) negotiation with other institutions, b) annual publication of opportunities if available, and c) facilitating approved exchanges within approved policies or relevant University practices.

8. Exchange Leaves - Funding

That funds for the relocation expenses of faculty members participating in exchange leaves be provided according to existing policy and that a specific budget line be established with its level subject to the salary/benefits negotiation process. The guidelines for the relocation expenses would be contained in the Moving Allowances Policy.

9. Sabbatical Credit

That periods of Educational Leave for Alternative Training and Exchange Leaves be counted toward sabbatical entitlement with the understanding that a faculty member will not normally be permitted to be absent for more than two years in any seven-year period.

10. Leaves - General

That with respect to all types of paid leave, normally a minimum period of two years should elapse between any two successive leave periods but that this period could be modified in individual cases at the discretion of the Senate Leave Committee and subject to the approval of the Vice-President (Academic).

11. **Teaching**

That the Provost's Advisory Committee on Teaching and Learning:

a) devise some means of recognizing excellence in teaching, possibly in the form of annual teaching awards, and that this recognition be given due weight in promotion and tenure decisions.

b) continue to mount orientation programs for new instructors and graduate teaching assistants and that it also offer special programs for teachers of first-year courses.

c) offer a program of consultation to faculty and teaching assistants since PACTL considers individual consultation to be the best method of improving teaching. Where necessary, release time should be given members of the faculty deeply involved as consultants in such programs.

d) initiate a review of the methods presently in operation for evaluating teaching at Western with a view toward making suggestions for improvement.

12. **Alternative Work Loads**

That the possibility of individualized work loads for tenured faculty members be accepted as outlined in Appendix D on the understanding that a) only one of teaching, research, administrative/community service may be excluded, and b) some reasonable departmental balance between teaching and research be maintained.

13. **Leave of Absence Without Salary**

That a revised policy statement on leaves of absence without salary, as outlined in Appendix E, be adopted.

14. **The University of Western Ontario Act**

Notwithstanding the terms of policies that may be adopted as a result of these recommendations, the Board of Governors will retain the responsibilities assigned to it under The University of Western Ontario Act, Section 21 and may, from time to time, approve special arrangements for individual faculty members.

15. **Review**

That the Senate review this report and the programs recommended in 1987.

Concluding Notes

This report includes only those major suggestions of the Pepper Commission which both the Administration and the Faculty Association agreed to recommend to Senate. A letter of agreement, as outlined in Appendix F, specifying options and administrative procedures for other items in the Pepper Commission Report is attached for information. A brief overview of the complete recommendations of the Pepper Commission and the responses of the Administration and the Faculty Association is given in Appendix G.

APPENDIX A

Reduced Responsibility Policy

Policy Statement: Reduced Responsibility implies the redefinition of the contact period* of an individual faculty member's current appointment from regular full-time to less than full-time but on a regular basis.

Eligibility: All tenured members of the academic staff are eligible to apply. In exceptional circumstances consideration may also be given other regular full-time members of the academic staff.

General Principles:

1. Reduced Responsibility appointments are of a regular ongoing nature, i.e., continuing from year to year with no defined termination date other than retirement.
2. Within the initial two-year period, return to full-time status will be automatic at the request of the member of faculty, but thereafter return to full-time status will require the mutual agreement of both the faculty member and the University.
3. Under this policy the level of salary will bear the same relation to the full-time salary as the new contact period to full-time responsibilities.
4. Salary increases will occur as if the current full-time salary were to continue but will be applied pro rata based on the relationship as in 3. above.
5. Eligibility for and participation in all group insurance plans, legislated plans and pension will continue as [illegible] as amended from time to time, but coverage will be on a pro rata basis (where appropriate). Subject to Department of National Revenue approval, for those over age 55 contributions by the employer and employee to pension and group insurance plans and benefits therefrom will be on the basis of the deemed continuance of the full-time salary.
6. Salary payments will continue to be made on a monthly basis over twelve months.
7. Vacation and sick leave entitlement will be on a pro rata basis. Sick leave will be paid only during the established contact period.
8. Faculty on reduced responsibility will be eligible for promotion.

Procedure:

1. Application for reduced responsibility status outlining in detail the proposed arrangements will be made by the individual faculty member through the chairman (where such exists) to the dean.

APPENDIX A

2. Should the dean (and chairman) agree to the request, the request will be forwarded to the Vice-President (Academic).

3. Subject to delegation of authority by the Board of Governors, the final decision will be made by the President, acting upon the advice of the Vice-President (Academic).

4. The decision of the President is final and is not subject to grievance under the Conditions of Appointment.

5. Details of the final reduced repsonsibility arrangements will be confirmed in writing and signed by both parties.

6. Requests for amendments to the contact period of reduced responsibility arrangements must follow the foregoing procedure.

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* Definition: Contact period is the stated or implied period of commitment of the individual's time to the University and his/her function therein according to the University's calendar of operations and its personnel policies.

The Early Retirement Programme
at
The University of Western Ontario

Although Western has two early retirement programmes, one for faculty, now approved by D.N.R. and one for staff, not yet approved by D.N.R., my remarks will be confined to the faculty plan.

Before discussing the evolution of Western's early retirement programme, it is important that you have a basic knowledge of our faculty pension plan.

In 1970, the unit benefit/final earnings pension plan was amended to a pure money purchase plan. Faculty members contributed 5.5% of salary to the pension plan while the University's contribution was 7.5%. These monies were distributed among several investment vehicles according to the wishes of the individual, and increased each year by the continuing contributions plus accrued investment interest.

For those participants in the pension plan in 1970 who were age 45 and over, the pension benefit at retirement would be the better of an improved final earnings formula or the benefit purchased from their money purchase fund. These individuals were called "special members".

Prior to the initial discussions and debate of an improved early retirement provision in 1976, a number of pressures were building up which encouraged its introduction:-

1) the punitive nature of the early retirement provisions of the Pension Plan,
2) the age profile of the academic staff,

3) the significant reduction in new appointments in the tenure stream, and

4) the wide variation of "special arrangements" being sought by, and provided to, individual appellant faculty and staff members nearing retirement age when early retirement was a mutually attractive proposition.

It is important to briefly analyze each of the above in order to gain an appreciation of the magnitude of these concerns - both individually and collectively.

First, although actuarially sound, the early retirement provisions of the University of Western Ontario Pension Plan for Academic Staff appear quite punitive in modern terms and inflationary times. Individuals who retire early under the Plan not only forfeit future salary and pension contributions, as well as the corresponding increase in their pension base, but have their existing entitlement reduced significantly to reflect an earlier payout. For example, a person aged 60 earning $40,000 after 20 years service, might reasonably expect to receive at normal retirement roughly $20,000 per annum pension benefit. Should that same person choose to retire at 60 the immediate pension benefit would be $12,500. Compound this result with the "ravages of inflation" on fixed incomes and, clearly, little or no incentive existed to motivate people to retire early from the University.

Second, Table A portrays the aging profile of full-time faculty at Western between 1974-75 and 1978-79. It is clear that while the population between 26 and 36 recedes rather dramatically over the period, the group in the brackets

41 to 65 increases significantly. Should this trend continue, the larger congregation of older faculty members will continue through the system but will be followed by an extremely sparse representation of younger members. As at most Ontario universities, this trend suggests the "drying up" of the academic dynamism and creativeness that we all know is essential and depends on continuous inputs of "new young blood".

Third, the declining number of faculty appointments made in the tenured stream in each year from 1976 to 1979 is reflected in Table B. This data corroborates that found in Table A and further suggests that the steep decline in such appointments does not appear to be arrested. While it does not seem possible that no tenured or probationary appointments would be made in any one year, the trend line may prove that in fact to be the case.

It is considered by the University of Western Ontario to be academically imperative that a steady flow of new, young faculty members should be appointed annually. The data in Tables A and B suggests that this objective is becoming more difficult to achieve.

Fourth, a wide variation in the nature of individualized ad hoc severence or retirement arrangements has been experienced in the past few years. Ranging from six months to one year terminal sabbatical or study leaves, through a reduced workload and salary programme with the maintenance of a shadow salary for benefit purposes, to outright early retirement pension plan enrichments, the form of the special benefit varied to suit the case but with increasing concern for precedent. The administration of the University perceived a need to provide an improved retirement benefit that could be uniformly and equitably applied to each and every such request for early retirement with pension enrichment.

A tentative enriched early retirement compensation plan for both faculty and staff was developed by the Personnel Department in October 1976. The overall aim of the plan was to provide openings for new faculty through the earlier retirement of others. To achieve this the plan must provide a significantly improved benefit at little or no cost to the University. Five possible improvements were considered:-

a) the early retirement provision under the pension plan for academic staff with no actuarial reduction

b) (a) above but with the factor (2% or 1%) for service increased to include the years remaining to normal retirement.

c) (a) above but with current salary assumed to continue to normal retirement.

d) (b) and (c) above - years of service and current salary to normal retirement.

e) (d) above - but with salary assumed to increase 5% per year to normal retirement.

and a proposal based on option (d) above was the one put forward.

A meeting was held to which the Presidents of the Faculty and Staff Associations, Chairmen of the Academic and Staff Pension Boards, and the Chairman of the Benefits Review Committee were invited. All save the President of the Faculty Association approved of the Plan on behalf of their constituency.

The Faculty Association struck an ad hoc committee consisting of a number of its members who would be eligible under the Plan

30

to apply for the improved benefit, and this group, having reviewed the proposal, met with members of the administration to debate its merits on a personal basis. During this session two very important issues emerged:- 1) whatever the nature of the plan, it should ensure that participants could early retire "with grace" and not be branded with the stigma of being incompetent or "deadwood", and 2) "peer pressure" was being exerted on older members of faculty to retire ahead of their time to make way for the younger, presumably more energetic faculty members. This "peer pressure", we were told would increase if older faculty members could retire with reduced financial penalty. Some such older faculty members present argued this was good while others obviously felt threatened by it.

In the end, the early retirement plan was passed to the Board of Governors for approval without an official endorsement by the Faculty Association. At the Board it was apparent that a great deal of concern and unease existed among the members vis à vis the principles, philosophy and possible results of this plan. Ultimately the fact that the Senate had not been informed of the proposal[1], and neither it nor the Faculty Association had endorsed it, provided the procedural alternative to action which the Board needed and it referred the document back to these two bodies for further discussion and review.

Many months later, by mutual agreement, the Faculty Association and the University reopened discussions on the early retirement compensation plan. Although a number of revisions to the plan were agreed to, the two major outcomes of these deliberations were first, a change in the thrust of the plan from a management motivated programme to a voluntary scheme on the part of the participant, and second, further enrichments in the calculation of the benefits.

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[1] Section 31(g) of the U.W.O. Act gives Senate the right to advise on all matters affecting "appointment, promotion, and termination of appointment of the members of the Faculty".

Similarly, as a result of actuarial advice the plan was amended to form two separate plans - one for faculty and one for staff - in order that each plan would form an amendment to the appropriate Pension Plan. The rationale for this change was to gain approval of the scheme by the Department of National Revenue in order to protect the recipient from an immediate and substantial payment of taxes on the commuted value of the improvement in the pension benefits in the year of payment, which might result from a personal tax audit.

Ultimately, a revised early retirement compensation plan, endorsed by the Faculty Association, the Academic Staff Pension Board, our actuary, the Pension Commission of Ontario, the Senate, and the University administration was forwarded to the Board of Governors for final approval in November 1978.

After lengthly and spirited debate, the Faculty amendment was passed and discussion on the Staff amendment put over until the January 1979 Board meeting. It was decided at the same time not to implement the Faculty amendment until such time as a decision on the Staff amendment was forthcoming from the Board in January.

Once again after considerable discussion the Board approved the Staff amendment at its January meeting, but added a condition to the approval of both amendments. The Board requested that the administration seek and receive the assurance of its legal counsel that the Board would be able to retain its discretionary powers in the administration and management of these amendments; ie. each case would not become a legal precedent and a "right" to be claimed in all subsequent cases.

Two significant events occurred almost simultaneously. First, the University's solicitor gave his opinion that the document provided the Board of Governors with absolutely no discretionary powers. A meeting was held with him after which he rewrote the document in terms that ensured the Board's right to refuse an application. Second, the Department of National Revenue (D.N.R.) denied approval of the proposed amendment and the subsequent revisions by our lawyer.

There were three basic aspects of the D.N.R. rules and regulations that had to be satisfied.[2] They were:-

1) the early retirement had to be imposed upon an individual,
2) the rationale for such imposition was the loss of continued employment because of technological change, and
3) the pension benefits for "special members" must be calculated in accordance with the specific parameters outlined in the regulations.

During a personal visit to their offices in Ottawa, the University was able to convince the officers of D.N.R. that the second requirement above was satisfied by a reasonable interpretation of the language of the regulations appropriate to a university setting. However, they insisted upon revisions that would satisfy the other two requirements.

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[2] Regulation: Information Circular 72-13R5, paragraphs 10(2)(ii)(iii)

The plan was rewritten once again to incorporate these regulatory requirements and submitted in an informal manner to D.N.R. With two minor alterations, it has now received tentative approval. In spite of a debate at a recent general (open) meeting of the Faculty Association in which the wording changes re the imposition of the plan, necessary to secure D.N.R. approval, were argued, the Faculty Association passed a motion supporting the amended plan.

On Wednesday, 24 October 1979, three years after its original introduction, the amendment to the Academic Pension Plan regarding early retirement as reflected in Exhibit A was submitted to the Board and approved. While readily distinguishable from the original proposal the main tenets and principles are quite similar.

A sample calculation is also reflected on Exhibit B.

It is too early to tell whether this programme will be successful in terms of the original purposes for which it was intended ie. facilitation of the replacement of some older faculty members by younger ones in the face of tenure and budgetary constraints. A number of individuals have requested calculations be done for them and similarly several Deans have expressed interest in its application. I would suggest, that once fully operational, the plan may see three to five persons per year over the next five years taking advantage of it.

This programme is only one of a number of faculty development programmes currently under review at Western, the others being sessional status, reduced workload, and a variety of leave arrangements. An extensive report on these various alternatives was prepared by a committee of faculty members chaired by Dr. Susan Pepper and many of the recommendations contained therein will undoubtedly be implemented.

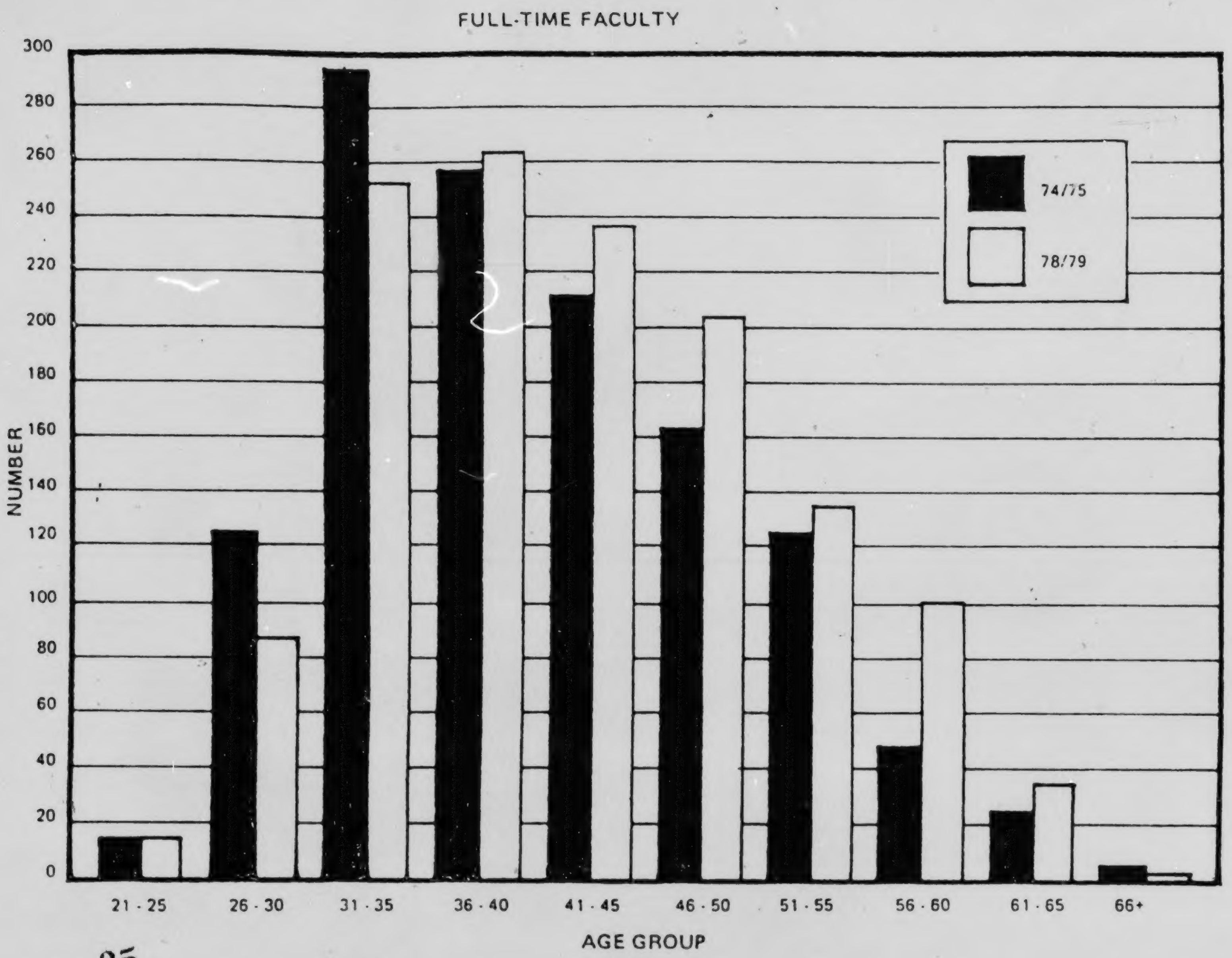

FULL-TIME FACULTY
NUMBER
300
280
260
240
220
200
180
160
140
120
100
80
60
40
20
0
▇ 74/75
☐ 78/79
21 - 25
26 - 30
31 - 35
36 - 40
41 - 45
46 - 50
51 - 55
56 - 60
61 - 65
66+
AGE GROUP

TABLE A

TABLE B

NUMBER OF NEW TENURED AND PROBATIONARY ACADEMIC APPOINTMENTS

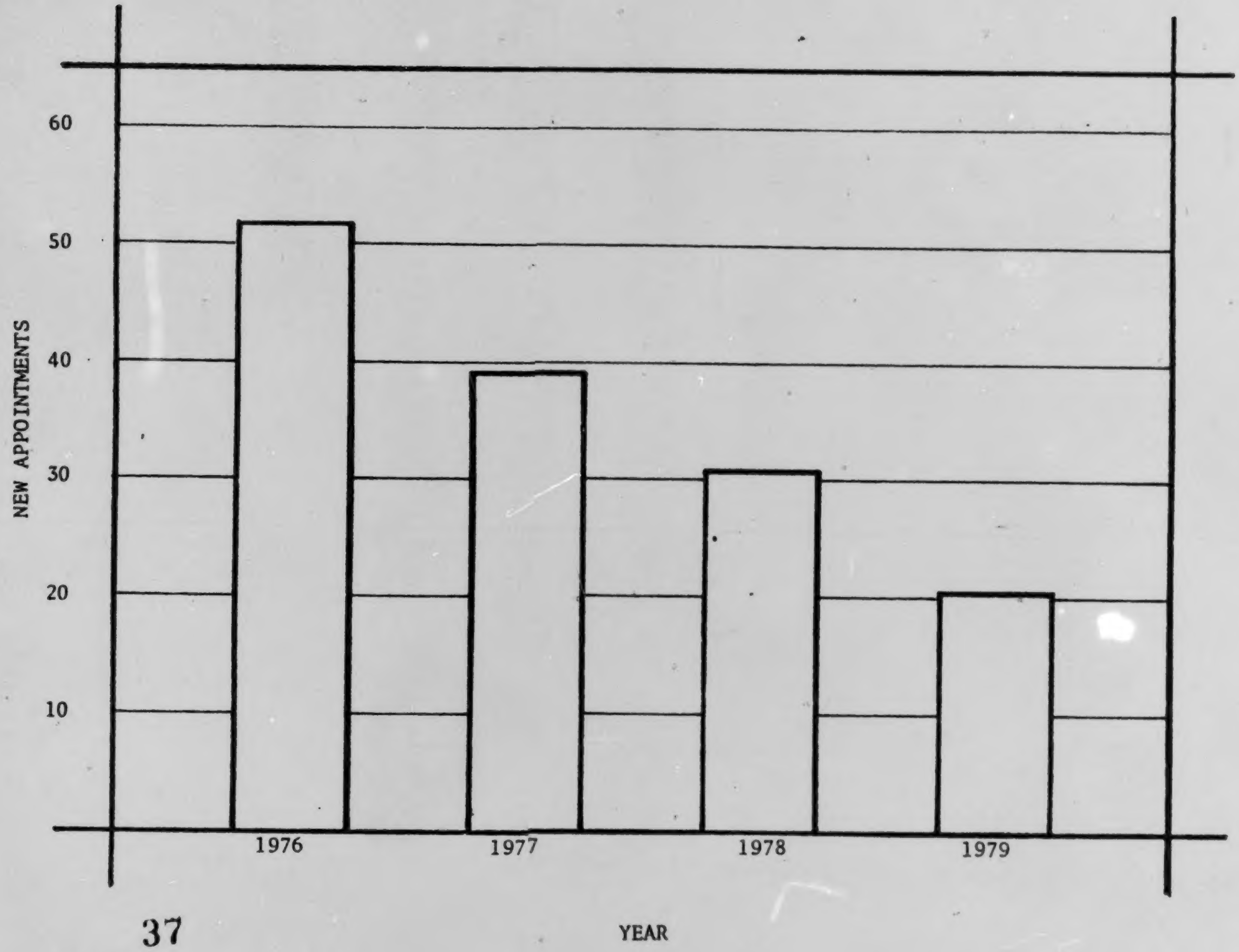


EXHIBIT A

AMENDMENT TO THE ACADEMIC PENSION PLAN

October 1979

Section VIII Subsection 6

(a) Subject to the exercise of the University's overriding discretion, an early retirement supplementary benefit as defined in (b) below may be provided upon the initiative of the University. Among the bases on which such a provision may be considered are:

- (i) That the early retirement would not adversely affect or interfere with academic priorities, objectives or operations. For example, the University would have to be satisfied that the early retirement would not impair the ability of the Faculty or Department or Academic Unit to function effectively.
- (ii) That the early retirement would not be financially disadvantageous to the University. For example, the University would have to be satisfied that the early retirement which required the appointment of a replacement member of faculty would not result in a net cost to the University.
- (iii) That the costs associated with the early retirement within any period of time must be within the financial or other budgetary parameters of the University.

(b) The benefits under this section are as follows:

(i) Special Members

The early retirement supplementary benefit will be payable at the date of early retirement, but calculated on the average of the best three consecutive annual earnings to the date of early retirement and as if service but not salary had been continuous up to the normal retirement date. This benefit would be incremented by the lesser of the Cost of Living Index (Consumer Price Index) or 7% on the first day of July of each year thereafter until the normal retirement date, at which time the benefit will reduce to the average annual benefit received between the date of early retirement and the date of normal retirement.

(ii) Regular Members

The early retirement compensation benefit will be payable at the date of early retirement, but calculated as if employment had been continuous up to normal retirement date, assuming 3% annual salary increments, with interest credited to the individual's contribution account assuming the average rate of return earned by the guaranteed fund over the past five years as calculated on the anniversary date of the Pension Plan immediately preceding the date of early retirement.

(iii) All early retirement calculations will be on the basis of a life pension guaranteed five years but at the request of the retiree may be modified in accordance with Section 8, Subsection (2).

(iv) Each early retiree under this plan will be entitled to all benefits and privileges, of a normal retiree. These include, for example, a paid-up life insurance policy, continuance of OHIP coverage, Supplemental Health Benefits and library privileges.

(c) The application of this subsection of the Plan is at the sole discretion of the University and any decisions thereunder are final.

SAMPLE CALCULATION

NORMAL RETIREMENT DATE 1 JULY 1987
EARLY RETIREMENT DATE 1 JULY 1980
PENSION PLAN START DATE 1 JULY 1954

	PRESENT EARLY RETIREMENT PROVISION	INITIAL EARLY RETIREMENT PROPOSAL APPROVED BY BOARD	FINAL EARLY RETIREMENT PROPOSAL APPROVED BY BOARD
SALARY HISTORY	1979-80 38,902 1978-79 37,126 1977-78 35,607 1976-77 33,073 1975-76 30,770 175,478	1986-87 48,845 1985-86 46,452 1984-85 45,099 1983-84 43,785 1982-83 42,509 225,690	1979-80 38,902 1978-79 37,126 1977-78 35,607 111,635
AVERAGE SALARY	$\frac{175{,}478}{5} = \$35{,}096$	$\frac{225{,}690}{5} = \$45{,}138$	$\frac{111{,}635}{3} = \$37{,}212$
YEARS OF SERVICE	1980 - 1954 = 26	1987 - 1954 = 33	1987 - 1954 = 33
CALCULATION	20 x 2% = 40 6 x 1% = 6 46 46%x 35,096 = $16,144 Early Retirement Reduction 7 x 4.5% = 31.5 31.5 x 16,144 = $5,085	20 x 2% = 40 13 x 1% = 13 53 53%x 45,138 = $23,923	20 x 2% = 40 13 X 1% = 13 53 53%x 37,212 = $19,722
BENEFIT PAYABLE	16, 144 - 5,085 = $11,059	$23,923	Jul 1/80-Jul/81 -19,722 Jul 1/81-Jul/82 -21,103 Jul 1/82-Jul/83 -22,580 Jul 1/83-Jul/84 -24,161 Jul 1/84-Jul/85 -25,852 Jul 1/85-Jul/86 -27,661 Jul 1/86-Jul/87 -29,598 Jul/87 & thereafter = $24,382

EXHIBIT B

EXHIBIT B
(cont'd)

SAMPLE CALCULATION

Cost of Early Retirement Improvement

Revised Benefit	$24,382 average
Current Benefit	$11,059
Improvement	$13,323

Assuming $10,000 will purchase $1000 per annum benefit, the cost of the improvement will be

$13,323 x 10 = $133,230

Savings from Early Retirement

Current salary	$38,902
Replacement salary	$18,000
Savings	$20,902

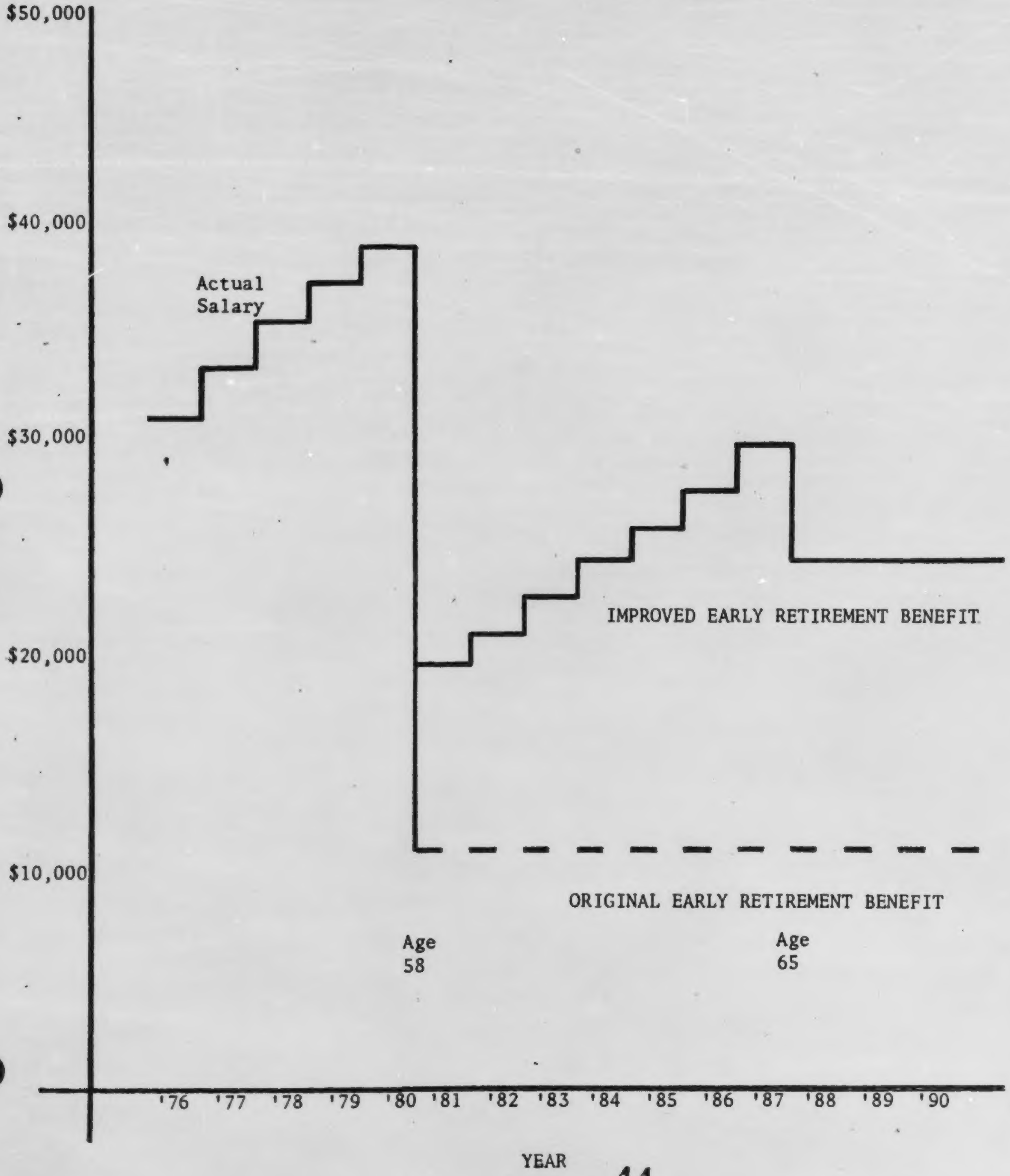
Number of years to normal retirement 1987-1980 = 7

Value of the savings $20,902 x 7 = $146,314

Gross savings 146,314 - 133,230 = $13,084

Net savings 133,230 - 112,000 =($21,2[illegible]0)
(assuming present value at 10%)

THE UNIVERSITY of WESTERN ONTARIO
EARLY RETIREMENT AMENDMENT
SAMPLE CALCULATIONS



AMENDMENT TO THE ACADEMIC PENSION PLAN

October 1979

Section VIII Subsection 6

(a) Subject to the exercise of the University's overriding discretion, an early retirement supplementary benefit as defined in (b) below may be provided upon the initiative of the University. Among the bases on which such a provision may be considered are:

- (i) That the early retirement would not adversely affect or interfere with academic priorities, objectives or operations. For example, the University would have to be satisfied that the early retirement would not impair the ability of the Faculty or Department or Academic Unit to function effectively.
- (ii) That the early retirement would not be financially disadvantageous to the University. For example, the University would have to be satisfied that the early retirement which required the appointment of a replacement member of faculty would not result in a net cost to the University.
- (iii) That the costs associated with the early retirement within any period of time must be within the financial or other budgetary parameters of the University.

(b) The benefits under this section are as follows:

(i) Special Members

The early retirement supplementary benefit will be payable at the date of early retirement, but calculated on the average of the best three consecutive annual earnings to the date of early retirement and as if service but not salary had been continuous up to the normal retirement date. This benefit would be incremented by the lesser of the Cost of Living Index (Consumer Price Index) or 7% on the first day of July of each year thereafter until the normal retirement date, at which time the benefit will reduce to the average annual benefit received between the date of early retirement and the date of normal retirement.

(ii) Regular Members

The early retirement compensation benefit will be payable at the date of early retirement, but calculated as if employment had been continuous up to normal retirement date, assuming 3% annual salary increments, with interest credited to the individual's contribution account assuming the average rate of return earned by the guaranteed fund over the past five years as calculated on the anniversary date of the Pension Plan immediately preceding the date of early retirement.

(iii) All early retirement calculations will be on the basis of a life pension guaranteed five years but at the request of the retiree may be modified in accordance with Section 8, Subsection (2).

(iv) Each early retiree under this plan will be entitled to all benefits and privileges, of a normal retiree. These include, for example, a paid-up life insurance policy, continuance of OHIP coverage, Supplemental Health Benefits and library privileges.

(c) The application of this subsection of the Plan is at the sole discretion of the University and any decisions thereunder are final.

RYERSON
POLYTECHNICAL
INSTITUTE

POLICY

Date
June 25, 1979

Reference No.
1-155

RETIREMENT

Normal Retirement Age

1. An employee shall normally retire at the end of the month in which he reaches age 65.

Partial Retirement

2. An employee who has reached age 58 may by mutual agreement with the Institute be placed for the remainder of his service in partial retirement status by having his workload and his salary reduced by an agreed percentage.

3. If such a reduction is to no less than 75% of a full workload and the employee has no less than 10 years of service in the Institute and is within five years of an entitlement to a full pension he shall retain all his social security benefits including paid sick leave.

   Furthermore, subject to the same conditions, if permissible under the terms of his pension plan and if so requested by the employee, his participation in such a plan shall be on the basis of a notional pensionable salary which shall be the equivalent of what his pensionable salary would have been from time to time had he not had his workload and his salary reduced.

   Contributions to the pension plan and to any ancillary plan related to the pension plan (such as the Superannuation Adjustment Benefits Act) by the Institute and by the employee and the employee's eventual pension benefits shall then be calculated and paid as a function of his notional pensionable salary.

4. If an employee has his workload and salary reduced but does not meet all the conditions specified in the first sub-paragraph of paragraph 3, his participation in the Institute's social security program shall cease except to the extent to which any particular social security coverage is required by law or can be arranged at the employee's cost.

   In such a case his entitlement to paid sick leave shall be reduced in proportion to the reduction in his workload and salary.

If permissible under the terms of his pension plan such an employee may also draw a pension during such partial retirement but in such a case his reduced salary shall be set in such a manner that when added to his pension it does not produce a sum which is more than 15% higher than what his full salary would from time to time be if he had not been placed in partial retirement status.

5. When an employee's workload is reduced pursuant to paragraphs 2 to 4 above, the rate of accumulation of his vacation credit shall be reduced proportionately.

Extension of Employment Beyond Normal Retirement Age

6. Notwithstanding the provision of paragraph 1 above, an employee who is nearing age 65 may, by mutual agreement with the Institute, have his employment extended beyond this age for a period or--by successive extensions--for periods of time up to the end of the month in which he reaches age 72. Such an extension or extensions may be on a full workload basis or on a partial retirement basis with workload and salary reduction and conditions foreseen in paragraphs 3, 4 and 5 above.

Considerations and Procedures Governing Partial Retirement and Extension of Employment

7. In deciding whether to agree to any of the retirement arrangements set forth in paragraphs 2 to 5 and in paragraph 6 above, the Institute shall be governed by the concept that in principle opportunities should be provided for employees in the 58 to 72 age-bracket retirement zone to arrange for the desired degree of their workload commitment at any period of time and the pace and timing at which they might wish to effect, through partial retirement, the transition from full-load employment to full retirement.

This concept of flexible retirement must nevertheless be subject to the consideration of the essential interest of the Institute in insuring a high level of service and fair employment opportunities for all its employees.

In thus endeavouring to strike a balance between the interests of the employee and those of the Institute the Institute shall be guided by such considerations as:

(a) in the case involving the provisions of paragraphs 2 to 5 the feasibility of arrangements for dispensing with or for the absorption by others of the workload portion which would remain if an employee were placed in partial retirement;

(b) in the case involving the provision of paragraph 6: the affected employee's basic qualifications and their currency and his professional standing and reputation; his record of performance and conduct; his health and sick leave record and his health prognosis for the future; impact upon any existing or threatening redundancy of younger employees in a given area of specialization; impact upon opportunities for advancement of younger employees of equal qualifications or potential; manpower and career planning requirements of the Institute; etc.

8. Discussions aiming at reaching a mutual agreement concerning any of the retirement zone work arrangements foreseen in paragraphs 2 to 5 and 6 may be initiated by either the Institute or the employee concerned and may take place well ahead of the intended commencement date of any such arrangement. The employee shall be given full opportunity to express his wishes in this regard, to explain his underlying reasons for them and to comment upon modalities by which, from the Institute's standpoint, they may best be met.

Post-Retirement Work Arrangements

9. In lieu of the employment arrangements referred to in paragraphs 2 to 5 and 6 above, an employee in the retirement zone may, by mutual agreement with the Institute be placed in another form of remunerative association with the Institute, such as a long term consultative arrangement or a contract for completion of a given work or a succession of works etc. In such a case his employment with the Institute shall cease and he shall be remunerated by an honorarium and/or such other provisions as may be mutually agreed.

10. The provision of the preceding paragraph shall apply with such changes as are appropriate to a former retired employee regardless of his age.

Volunteer Roles for Retired Employees

11. Retired employees may be invited to participate on a volunteer basis in the various boards, committees, task forces, working groups, etc. existing in the Institute, as members, advisors, etc.

Retirement Counselling

12. The Institute shall endeavour to organize pre-retirement counselling programs to assist employees in the retirement zone in preparing for

changes in their work and life incident to eventual retirement. Furthermore, the Personnel Department, the Finance Department, the Counselling Services, the Health Clinic and any other department or service of the Institute which may be helpful shall be available for advice on any individual problem facing an employee in the retirement zone.

Facilities and Participatory Activities for Retired Employees

13. Retired employees shall have the right to continue making use of the various Institute services such as the Health Clinic, Counselling Services, Library, Food Services, Athletics, etc. on the same basis on which these services are available to active employees; they are also encouraged to participate, on the same basis that applies to active employees, in activities of cultural, artistic, social or other nature taking place within the Institute. Under the Institute's present general policy, persons aged 60 or more can enroll tuition-free in any course offered by the Institute in its day or evening programs, subject to applicable admission conditions.

General Provisions

14. Decisions whether to enter into any of the mutual agreements referred to in this Policy (paragraphs 2, 6 and 9) shall be discretionary to the Institute and shall not be grievable. These decisions shall be made by the President who shall act with the advice of the appropriate Vice-President and the Director of Personnel.

15. If the provisions of any policy or of any collective agreement applicable to a particular employee bearing on the issues dealt with in this Policy are more favourable to him than the provisions of this Policy, the former shall prevail.

16. In this Policy:

    (a) "employee" means a regular employee i.e. an employee who is employed on an indefinite, career basis and who has satisfactorily completed the probationary period of his service, and includes an employee serving on an extension beyond normal retirement age;

    (b) the masculine gender connotes the feminine.

* * *

REDUCED WORKLOAD

CARLETON

GUELPH

QUEEN'S

TORONTO

WATERLOO

WESTERN

WILFRID LAURIER

YORK

RYERSON

CARLETON

REDUCED WORKLOAD WITH PRO-RATED PAY

(Article 20.2 of the Collective Agreement July 1, 1977 - June 30, 1979)

(a) Reduced workload with pro-rated pay may be granted by the employer at any time upon application by an employee. Normally, this will not exceed one-third (1/3) and the reduction in salary shall be pro-rated to the reduction in the total academic workload which includes teaching, research/scholarly/creative activities and service to the University, as appropriate for the category of employee.

(b) An employee working a reduced workload at pro-rated pay shall continue as a member of the academic staff and a member of the bargaining unit.

(c) The employee shall continue to enjoy all benefit plans as listed in Article 40, subject to the conditions of any particular plan, and including such cost-sharing arrangements as there specified. With respect to the Pension Plan the employee's membership shall be governed by Article 40.8.

(d) An employee working a reduced workload at pro-rated pay shall earn credit toward sabbatical leave, tenure, confirmation and promotion on a pro-rated basis.

(e) An employee working a reduced workload at pro-rated pay shall receive such additions to his/her nominal salary as shall be implemented, as a result of collective bargaining, from time to time during the period of reduced workload and shall be eligible to have career development increments added to the nominal salary.

(f) Three (3) months prior to the commencement of such period the employer shall inform the employee in writing of all agreed terms and conditions upon which the granting of leave is based, including a reference to the specific section(s) of the Collective Agreement which governs reduced workload and specifying a deadline for acceptance or rejection of the said terms and conditions.

(g) The employee shall not be deemed to have accepted the terms of such reduced workload until he/she has so notified the employer in writing. Failure to accept within the deadline specified in 20.1(f) shall be deemed to constitute non-acceptance.

(h) Once accepted by the employee, the employee becomes responsible for any cost to the University arising directly out of a subsequent change altering the arrangements with respect to such reduced workload.

CARLETON

REDUCED-TIME APPOINTMENTS

(Article 9.12-9.20 of the Collective Agreement as amended for period July 1, 1978 to April 30, 1980)

A reduced-time appointment is defined as one in which a member of the bargaining unit at his/her request carries, on an ongoing basis, a reduced workload pursuant to Article 13. In the remainder of this Article, 9.12 - 9.20, each and every reference to "reduced-time appointment" shall be understood to mean "ongoing reduced-time appointment".

(a) All employees who at the time of application hold full-time positions are eligible for reduced-time appointments.

(b) Reduced-time appointments may also be given to new employees whose workload is to be less than full-time but sufficient to make them members of the bargaining unit.

(c) The employer shall not unreasonably withhold approval of requests for transfer from full-time to reduced-time status.

(d) Members of the bargaining unit already on reduced-time status when this Collective Agreement takes effect shall be covered by all terms and conditions of this Article, but nothing in this Article shall be deemed to prejudice the terms and conditions of employment of such individuals.

9.13 The salary of a reduced-time appointee shall be determined as follows:

(a) Each such appointee shall have a nominal salary composed as specified in Article 45. For an employee transferring from full-time status the nominal salary shall be that which would be the case if the employee were continuing in full-time status. For another appointee to reduced-time status, the nominal salary shall be that which would be appropriate if the employee were appointed to full-time status as specified in Article 9.9.

(b) Any increases for a continuing reduced-time employee shall be made to the nominal salary as if he/she were a full-time employee.

(c) A reduced-time employee is eligible for a merit payment as specified in Article 42; such payment shall become part of that employee's nominal salary.

(d) Each such appointee shall receive an actual salary pro-rated from the nominal salary according to the reduction in workload.

(e) An employee already on reduced-time status at the time this Collective Agreement takes effect shall receive a salary adjustment, where required, to satisfy the terms of Article 9.13.

9.14 Unless prohibited by agreement with the carrier(s), the employer shall provide a reduced-time appointee with the same benefits and coverage as specified in Article 40 for employees (except for the Carleton University Retirement Plan) and shall, where applicable, contribute to the cost of these plans on the basis of nominal full-time salary.

9.14 (a) For the Carleton University Retirement Plan, the reduced-time appointee shall elect prior to the commencement of the reduced-time appointment to contribute 6% of either his/her nominal full-time salary on his/her actual salary.

(b) The employer shall contribute a matching amount to the employee's Money Purchase Component account.

(c) Regardless of the employee contributions elected under (a) above, for purposes of calculating the Minimum Guarantee, full credited service shall be granted for the period of reduced-time employment and the employee's nominal salary, if applicable, shall be used in determining final average earnings.

9.15 For the purposes of any assessments of performance, including career development increments, merit payments, promotion and tenure, a member of the bargaining unit on a reduced-time appointment shall be assessed solely on the basis of his/her actual workload; but a career development increment or merit payment awarded to a reduced-time appointee shall be pro-rated in the same manner as salary in Article 9.13(a).

9.16 For the purpose of sabbatical leave, a reduced-time appointee shall have the right to a sabbatical stipend based on actual salary, with years of credited service calculated as if the employee was on a full-time appointment.

9.17 An employee who accepts a reduced-time appointment shall have the same access to all University research facilities as if he/she were on a full-time appointment; and where the employee has accepted a reduced workload in order to devote additional time to research, the employer shall not unreasonably deny increased access to these research facilities.

9.18 (a) An employee on reduced time appointment shall have the right to resume full-time status provided:

(i) notice of the intention to resume full-time status is given to the employer in writing within twelve (12) months of the commencement of the reduced-time appointment, and

(ii) full-time status is resumed within twenty-four (24) months after the commencement of the reduced time appointment.

(b) If an employee requests resumption of full-time status, pursuant to 9.18 (a) above, within a six (6) month period of the date of his/her request, such a request shall not be unreasonably refused.

(c) Except as provided for in 9.18 (a), a reduced time appointee has no guarantee of resumption of full-time status but when any vacancy occurs in the sub-unit of an employee on reduced time status, that employee if he/she so requests following the advertising requirements of Article 9 shall be given first consideration for the vacant position, prior to the consideration of any new appointees.

9.19 An employee on a reduced-time appointment shall be covered by all the rights and protections of this Collective Agreement, including but not restricted to those governing tenure, dismissal and lay-off.

9.20 Letters of appointment for a reduced-time appointee shall be signed by the President.

9.20 (a) The letter of appointment shall clearly state the nominal salary, reduction in workload and actual salary, and all other terms and conditions attached to the appointment, including those specified for full-time appointments in Article 9.8.

(b) Upon receipt of a letter of appointment from the President offering a reduced-time appointment, an employee already holding a full-time appointment shall have twenty (20) working days in which to indicate in writing to the President his/her acceptance or rejection of the reduced-time appointment.

(c) No reduced-time appointment shall take effect until and unless the appointee indicates in writing to the President his/her acceptance of the appointment and all its terms and conditions as specified in the letter of appointment.

5. REDUCED TIME APPOINTMENTS

This policy is applicable to all staff other than those whose position is covered in the CUASA Collective Agreement.

Policy

This policy is designed to provide staff who currently occupy regular, full-time twelve month positions the opportunity to pursue interests which may not be related directly to their responsibilities to the University and to provide the University with some degree of flexibility in utilizing its financial and human resources.

Practice

a) Any full-time staff member who currently occupies a regular full-time position and who has a minimum of one year continuous full-time service at the University may request and may be granted a reduced time appointment. Such an arrangement must be mutually agreed upon and shall not be unilaterally imposed upon any staff member. The Department Chairman or Dean or Administrative Department Head concerned or the University Librarian shall consider each such request carefully in the light of the operational needs of the Department. A recommendation will be made to the President or Vice-President, as appropriate, for the final decision.

b) A reduced time appointment may be taken in the form of a shorter work year, shorter work week, or a shorter work day. Such reduced time appointments will encompass not less than six months of working time in the year or 17-1/2 hours per week (50% working time).

c) A reduced period of responsibility will not change a staff member's normal security or rights as a regular employee of the University.

d) A request to return to a full-time appointment or to change the period of a reduced time appointment whether at the initiation of the staff member or the Administrative Head, Department Head, or Dean concerned or the University Librarian, should be made six months in advance (unless notice is waived by mutual consent). If there is not mutual agreement on the change in the reduced time appointment, whether to full-time or some other period, the Department Head, the Dean and/or the Director of Personnel Services, whomever is appropriate, will endeavour to find within one year suitable alternative employment within the University to accommodate the preference of the staff member concerned. If this cannot be accomplished then at the end of the one year period the individual will have to choose between accepting the change or resigning.

e) All salaries will be established and quoted on an annual basis (nominal salary) and paid in proportion to the time actually worked (actual salary). Salary increases for those on reduced period of responsibility will be calculated on the nominal salary in the same manner as all other staff. The actual salary will be increased in proportion to the increase in the nominal salary. The option will be provided to receive salary payments during the time actually worked or over the entire year. For example, the actual salary of a person on an 8-month reduced period (September 1 to April 30) could be paid over eight months or over twelve months. In the first-mentioned case, a person with a nominal salary of $12,000 would receive an actual salary of $8,000 at the rate of $1,000 per month for eight months. In the last-mentioned case, the actual salary of $8,000 would be paid at the rate of $666.67 per month for twelve months.

f) Fringe benefit plans can be continued based on the nominal salary or on the actual salary, subject to certain plan restrictions beyond the control of the University. The University will continue to pay its share of the fringe benefit costs pro-rated to the extent of the workload as long as the staff member is paid a salary. During periods of leave without pay coverage can continue provided the staff member pays the full premium cost (employee plus employer).

(i) Life Insurance:

To retain eligibility, premiums must be continued throughout the year. Coverage can be based on the nominal salary or on the actual salary.

(ii) Long-Term Disability:

To retain eligibility these premiums also must be continued throughout the year. Because of insurance carrier regulations, coverage and premiums under this plan can be based on nominal or actual salary for the first 12 months of the reduced time appointment, but must be based on actual salary thereafter. As this is an insurance plan, any benefits payable will not be affected by a shorter work year, i.e., L.T.D. Benefits for a person on claim will continue for as long as the illness lasts, regardless of prior leave arrangements. The normal 180 day waiting period will apply regardless of whether the employee is at work or on leave.

(iii) Extended Health Care:

These premiums are not salary related and must be paid throughout the year to continue coverage. Thus, any medical expenses incurred will be eligible for reimbursement under the plan's terms, regardless of when they occur.

(iv) Dental Plan:

These premiums are not salary related and must be paid throughout the year to continue coverage. Thus, any dental expenses incurred will be eligible for reimbursement under the plan's terms, regardless of when they occur.

(v) U.I.C.:

These premiums are based on actual salary payments and hence deductions will be made only during the time the staff member receives a salary from the University. If a staff member chooses to receive his pay over twelve months, U.I.C. premiums will be deducted each month in the normal manner.

(vi) Pension Plan:

The staff member has the option of maintaining contributions at the normal level based on the nominal salary. The balance between the University's pro-rated contribution and the full contribution based on nominal salary will be made up by the member. Alternative coverage can be based on actual salary with credited service being pro-rated accordingly. During periods of leave without pay the staff member may contribute to the plan but the University will not match any contributions made. This payment will be made by payroll deduction when the leave is completed, based on the nominal salary during the period of leave. To preserve full credited service in the plan the staff member must contribute the required amount to the Employee and University money purchase components and the required amount to the Minimum Guarantee Fund.

(vii) Ontario Health Insurance Plan (OHIP):

Membership in the Carleton group must be maintained during the reduced time appointment.

(viii) Semi-Private Coverage:

The options and requirements for this plan are similar to those for Extended Health Care.

(ix) Unemployment Insurance Claims:

The University is required to issue a U.I.C. record of employment certificate indicating when there has been interruption of earnings and to provide the reason for the interruption. Such certificates will be issued, for example, when salary payments cease under an 3-month period of reduced responsibility when the salary is paid over the 3-month period. Any questions regarding unemployment insurance claims should be directed to the local U.I.C. Office, 1400 Merivale Road, 998-9904.

(x) Vacations:

Vacation entitlement will be pro-rated to the reduced time appointment. As an example, a staff member on a 2/3 appointment would have their vacation entitlement pro-rated to 2/3 of their full-time entitlement. In the case of a reduced-time appointment with a work period of less than 12 months, the vacation entitlement must be taken during the work period. That means leave can not be taken during the leave of absence without pay.

(xi) Sick Leave

Sick Leave entitlement will be prorated to the reduced time appointment. As an example, a staff member on a 2/3 appointment would have their sick leave entitlement pro-rated to 2/3 of their full-time entitlement.

9.12 **Reduced-Time Appointments**

A reduced-time appointment is defined as one in which a member of the bargaining unit at his/her request carries, on an ongoing basis, a reduced workload pursuant to Article 13. In the remainder of this Article, 9.12 - 9.20, each and every reference to "reduced-time appointment" shall be understood to mean "ongoing reduced-time appointment".

(a) All employees who at the time of application hold full-time positions are eligible for reduced-time appointments.

(b) Reduced-time appointments may also be given to new employees whose workload is to be less than full-time but sufficient to make them members of the bargaining unit.

(c) The employer shall not unreasonably withhold approval of requests for transfer from full-time to reduced-time status.

(d) Members of the bargaining unit already on reduced-time status when this Collective Agreement takes effect shall be covered by all terms and conditions of this Article, but nothing in this Article shall be deemed to prejudice the terms and conditions of employment of such individuals.

9.13 The salary of a reduced-time appointee shall be determined as follows:

(a) Each such appointee shall have a nominal salary composed as specified in Article 45. For an employee transferring from full-time status the nominal salary shall be that which would be the case if the employee were continuing in full-time status. For another appointee to reduced-time status, the nominal salary shall be that which would be appropriate if the employee were appointed to full-time status as specified in Article 9.9.

(b) Any increases for a continuing reduced-time employee shall be made to the nominal salary as if he/she were a full-time employee.

(c) A reduced-time employee is eligible for a merit payment as specified in Article 42; such payment shall become part of that employee's nominal salary.

(d) Each such appointee shall receive an actual salary pro-rated from the nominal salary according to the reduction in workload.

(e) An employee already on reduced-time status at the time this Collective Agreement takes effect shall receive a salary adjustment, where required, to satisfy the terms of Article 9.13.

9.14 Unless prohibited by agreement with the carrier(s), the employer shall provide a reduced-time appointee with the same benefits and coverage as specified in Article 40 for employees (except for the Carleton University Retirement Plan) and shall, where applicable, contribute to the cost of these plans on the basis of nominal full-time salary.

(a) For the Carleton University Retirement Plan, the reduced-time appointee shall elect prior to the commencement of the reduced-time appointment to contribute 6% of either his/her nominal full-time salary on his/her actual salary.

An Amendment to the Article 9.12-20

Collective Agreement between Carleton University
and Carleton University Academic Staff Association
July 1, 1978.

9.14 (b) The employer shall contribute a matching amount to the employee's Money Purchase Component account.

(c) Regardless of the employee contributions elected under (a) above, for purposes of calculating the Minimum Guarantee, full credited service shall be granted for the period of reduced-time employment and the employee's nominal salary, if applicable, shall be used in determining final average earnings.

9.15 For the purposes of any assessments of performance, including career development increments, merit payments, promotion and tenure, a member of the bargaining unit on a reduced-time appointment shall be assessed solely on the basis of his/her actual workload; but a career development increment or merit payment awarded to a reduced-time appointee shall be pro-rated in the same manner as salary in Article 9.13(a).

9.16 For the purpose of sabbatical leave, a reduced-time appointee shall have the right to a sabbatical stipend based on actual salary, with years of credited service calculated as if the employee was on a full-time appointment.

9.17 An employee who accepts a reduced-time appointment shall have the same access to all University research facilities as if he/she were on a full-time appointment; and where the employee has accepted a reduced workload in order to devote additional time to research, the employer shall not unreasonably deny increased access to these research facilities.

9.18 (a) An employee on reduced time appointment shall have the right to resume full-time status provided:

(i) notice of the intention to resume full-time status is given to the employer in writing within twelve (12) months of the commencement of the reduced-time appointment, and

(ii) full-time status is resumed within twenty-four (24) months after the commencement of the reduced time appointment.

(b) If an employee requests resumption of full-time status, pursuant to 9.18 (a) above, within a six (6) month period of the date of his/her request, such a request shall not be unreasonably refused.

(c) Except as provided for in 9.18 (a), a reduced time appointee has no guarantee of resumption of full-time status but when any vacancy occurs in the sub-unit of an employee on reduced time status, that employee if he/she so requests following the advertising requirements of Article 9 shall be given first consideration for the vacant position, prior to the consideration of any new appointees.

9.19 An employee on a reduced-time appointment shall be covered by all the rights and protections of this Collective Agreement, including but not restricted to those governing tenure, dismissal and lay-off.

9.20 Letters of appointment for a reduced-time appointee shall be signed by the President.

(a) The letter of appointment shall clearly state the nominal salary, reduction in workload and actual salary, and all other terms and conditions attached to the appointment, including those specified for full-time appointments in Article 9.8.

(b) Upon receipt of a letter of appointment from the President offering a reduced-time appointment, an employee already holding a full-time appointment shall have twenty (20) working days in which to indicate in writing to the President his/her acceptance or rejection of the reduced-time appointment.

(c) No reduced-time appointment shall take effect until and unless the appointee indicates in writing to the President his/her acceptance of the appointment and all its terms and conditions as specified in the letter of appointment.

III. LEAVE WITH SALARY

3.01 The University encourages faculty members who have tenure and who have completed six full years of service to the University (since appointment or since completion of a previous leave with salary)* to apply for leave with salary. Every application will be considered in relation to the resources available to the Department and College concerned; very small Departments will be given special consideration in dealing with application for leave. The purpose of the leave is to enable the faculty member to devote time to scholarly development and thus to enhance the quality of his subsequent contribution to the University's academic program.

It is expected that, at the time of application, the faculty member will provide a tentative plan for the leave period.

For the purpose of determining eligibility for leave as a faculty member, the period of leave with salary granted to an academic administrative appointee will not count as a previous leave with a salary.

3.02 A period of leave with salary is not to be confused with a research semester.

3.03 Since the purpose of the leave is to enable the individual to devote his time to his own scholarly research and development, he should not, during the period of his leave, engage in remunerative employment to such an extent that the basic purpose of the leave cannot be accomplished.

3.04 The faculty member who qualifies under Section 3.01 of this policy may apply for up to twelve months' leave at a stipend determined on the following basis:

up to 7 months	100% of salary
8 months	95% of salary
9 months	90% of salary
10 months	85% of salary
11 months	80% of salary
12 months	75% of salary

If additional funds are received from outside sources, the salary will be adjusted so that the total remuneration will not exceed full salary plus a reasonable amount for travel.

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*An exception to this stipulation will be made where the previous leave was connected with campaigning as a candidate for public office, in accordance with the Policy Statement on "Faculty Running for and Assuming Elective Public Office" or where the previous leave with salary was for a period of not more than a single semester.

3.05 Applications for leave with full or partial salary from individual faculty members who qualify under Section 3.01 will be considered as soon as practicable by the Department Committee, and its recommendations forwarded through its Chairman to the Dean in his capacity as Chairman of the College Committee.*

3.06 The Dean will convene the College Committee as soon as it is practicable to consider all recommendations of the Department Committee concerning leave with salary. The decision on each application will be forwarded by the Dean to the faculty member and the Chairman of his Department.

3.07 Faculty members whose applications for leave have not received the support of their Department Committee may appeal to the College Committee. In the event the College Committee favours such an application the Department Committee is required to reconsider the application. If after consideration the Department Committee still does not favour the application, the Chairman shall forward to the Dean a statement which the Department Committee has agreed represents its reasons for not granting leave. In all cases the decision of the College Committee shall be final.

3.08 It is expected that the faculty member will return to the University for at least one year following the leave period.

3.09 The faculty member will receive the normal University benefits, including classification changes and salary adjustments, as these apply to faculty, but the Personnel Department should be consulted in each case in order to ascertain whether any special conditions apply.

IV. APPLICATION

4.01 This policy will become effective on January 1, 1973, and will govern all applications for leave received by Department Chairmen on or after that date.

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*The Department Committee and the College Committee are those specified in the Policy Statement on Appointments, Tenure and Promotions, Sections 2.01 and 3.01. For purposes of considering applications for leave, the quorum of each Committee will be two less than the full Committee.

contracts may be renewed) or continuation beyond the term and no implication that the appointee is on probation for tenure. Every Instructor will be employed on a contractually limited term. Contractually limited full-time appointments at the rank of Lecturer and above will ordinarily not be made for more than two years in total.

4.03 Every full-time academic appointment of more than twelve months confers the right during the term of the appointment to fair consideration for increases of responsibility and salary, and promotion in rank. Tenure will not be granted to a faculty member whilst he holds the rank of Lecturer. Promotion of a faculty member on probation from Assistant Professor to Associate Professor or from Associate Professor to Professor will confer tenure. Promotion of a Lecturer to Assistant Professor does not necessarily confer tenure.

4.04 Each new appointee to the faculty will be given by the Dean, in writing, a statement of his rank, salary, situation with respect to tenure, and length of term (where applicable), together with a copy of this policy statement.

4.05 The maximum duration of a probationary appointment is five consecutive years of full-time employment* (dating from the time of appointment to a full-time faculty position at the University of Guelph). Probationary appointments will be reviewed by the Department Committee as outlined in 5.03 (i); the first review will occur during the second year of appointment and thereafter the appointment will be reviewed annually. A probationary appointment usually lasts for at least two full years of employment.

4.06 The University will not use appointments with contractually limited terms (4.02 (iii)) in place of probationary appointments. The length of every contractually limited term will be clearly stated in writing at the time of appointment. (See 4.04). If the University intends to offer renewal of such a contract, the University will give the faculty member six months' notice of its intentions with respect to renewal.

Part-time Appointments

4.07 Appointments may be made to part-time faculty positions at any rank. Part-time appointments are those in which the duties are specified and constitute during an academic year less than a full-time teaching equivalent.

Appointments to part-time positions are of two types:

(i) appointments limited by the terms of a contract.

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*Not counting periods of leave without salary.

(ii) appointments with tenure. Part-time tenured appointments may be held only by faculty members who have previously held a full-time tenured appointment at the University. Change to a part-time tenured appointment requires the agreement of the faculty member, the Department Chairman, the College Dean, the Vice-President Academic and the President.

4.08 Initial part-time appointments at any rank shall be for no more than twelve consecutive months in duration. No renewal of a part-time appointment shall be for more than twelve consecutive months in duration except as provided for in 4.09.

4.09 A faculty member who has held part-time appointments of twelve months or less in three successive academic years is eligible for a three year contract after review. A further appointment for twelve months or less shall not be made for such a faculty member unless the offer of a three year contract is refused. The part-time faculty member being considered for such a contract must be reviewed during his third annual appointment, the review to follow the same procedure and to be governed by the same criteria as the review for the continuation of a probationary appointment.

4.10 A faculty member who holds a three year part-time contract may be eligible for a renewal of the contract after review. The review shall be held in the third year of the contract as in 4.09. Six months' notice should be given of intention to renew the contract.

4.11 Part-time faculty members with tenure or holding a three year contract will be eligible for promotion. The procedures and criteria for promotion will be mutatis mutandis as in 6.01 to 6.09.

4.12 A faculty member who holds a part-time tenured appointment is eligible to apply for leave with salary after six calendar years of service to the University. The procedures for leave with salary will be mutatis mutandis as in 3.05 to 3.09 of the Statement of Policy on Faculty Leave. The salary rate during such leave shall be the appropriate portion of the faculty member's normal part-time salary rate.

VI. POLICY WITH RESPECT TO PROMOTION

6.01 (i) Each year, the Department Committee will consider each of those members of the department eligible for promotion. During its deliberations, the Committee should have before it a current summary of the relevant activities of each faculty member. (See Section VIII Information for Tenure, Promotion and Selective Increase).

(ii) It is not required that a faculty member have an outstanding record in all areas of his responsibility in order to be eligible for promotion.

(iii) The Department Chairman will inform each new faculty member of the latter's specific responsibilities and their relative importance to the criteria that the Department will use in recommending promotion (See Statement on Faculty Responsibilities).

(iv) Any faculty member eligible for consideration for promotion may choose not to be considered for promotion. However, he is required to submit, in writing, to the Chairman of his Department, a signed statement to the effect before the Department Committee begins its deliberations.

6.02 The Chairman will inform each faculty member who is eligible for promotion whether or not he is being recommended.

6.03 The Chairman of the Department Committee will send a list of all cases considered by the Committee and the recommendation on each case considered by the Department Committee, together with supporting statements, to the College Committee.

6.04 The College Committee will review all Department Committee recommendations except those for which appeals have been made and will decide on its recommendations. It will then consider any appeals against the recommendations of the Department Committee. The College Member (see 2.02 (iv)) will be non-voting when appeals against decisions of the Department Committee are being heard.

6.05 The Chairman of the College Committee will inform the Department Committee and the individual faculty member concerned of the recommendations of the College Committee.

6.06 The procedure for appeals against recommendations of the Department Committee in regard to promotions will be, _mutatis mutandis_, as in 5.09 and 5.10.

6.07 If the College Committee recommends that promtion not be granted, the faculty member concerned, if he so requests in writing to the Dean, may appear before the College Committee to present his appeal, which will then be considered. If the faculty member so requests in writing, he will be given in writing a statement which the College Committee has agreed represents the reasons for its decision.

6.08 After hearing all appeals, the College Committee will forward all Department and College Committee recommendations and their supporting statements to the President. The President will provide reasons to the Committee whose recommendations he does not accept, and, in the event of an adverse decision, to the faculty member.

6.09 Promotion will be made the subject of formal notice to the faculty member concerned by the Dean immediately following approval by the President. However, the new rank will not ordinarily become effective until the following July 1.

VII. DISMISSAL PROCEDURES AND SUSPENSION

7.01 The appointment of a tenured faculty member may not terminate except:

(i) by resignation. The University expects that faculty members will give at least six months' notice of resignation.

(ii) by retirement.

(iii) by dismissal for adequate cause.

7.02 The termination by the University of a tenured appointment at any time other than by retirement constitutes dismissal. The failure to renew a contract of limited term does not constitute dismissal. The termination by the University of a probationary appointment as a result of the decision during the year review of probationary appointments within the terms of this policy (Part V) does not constitute dismissal. The

PENSION AND BENEFITS - REDUCED WORKLOAD

FACULTY AND STAFF

FOR: Employees age 55 or over and with 10 or more years of service and special cases under 55 years of age with 10 or more years of service who wish to apply for a reduced workload.

I. PURPOSE

To permit employees 55 years of age or over and with 10 or more years of full time service, who have requested and received a reduced workload, to accumulate pension plan credits and to continue benefits coverage. Where an employee is under 55 years of age and has 10 or more years of service, any request for a reduced workload arrangement will be considered on its own merits.

II. REDUCTION OF WORKLOAD

(Case A) The Pension and Benefits adjustments set forth in IV and V below will be applicable when the workload has been reduced by no more than 50% of the normal workload.

(Case B) If the workload is reduced more than 50%, then salary, pension earnings, credited service, contributions, benefits and vacation entitlement will be reduced in proportion to the workload.

III. SALARY (Case A and Case B)

When an employee takes a reduced workload, his/her salary will be adjusted in proportion to the reduced workload.

IV. PENSION

(i) EARNINGS (Case A)

For the purposes of the Pension Plan "Earnings" will be based on the salary as if he/she were employed on a full time basis.

(ii) CREDITED SERVICE (Case A)

Years worked on a reduced workload basis will count as full years of service in addition to all previous pension credits earned prior to the date of commencing a reduced workload.

IV. **PENSION** (continued)

(III) **CONTRIBUTIONS** (Case A)

The employee and the University will continue to make required contributions on "earnings" (full salary) as set out above.

V. **BENEFITS**

- Canada Pension Plan and Unemployment Insurance contributions and benefits will be based on the reduced salary as in III.
- OHIP and Dental Premiums remain unchanged with normal cost sharing (Case A and Case B).
- LTD premiums and benefits will be based on the reduced salary as in III.
- Life Insurance and survivor premiums and benefits will be based on the salary as under IV (I), (Case A).

OR

- Life Insurance and survivor premiums and benefits will be based on the reduced salary as in III.
- The University will continue its normal cost sharing arrangement for Life Insurance premiums (Case A and Case B).

VI. **VACATION CREDITS**

The vacation credits earned will be calculated on the basis of the appropriate percentage of the full entitlement rounded to the nearest day (Case A and Case B).

VII. **AUTHORIZATION**

Requests for reduced workload should be in writing and directed to the appropriate officers who are charged with the authority to grant reduced workloads in accordance with the Faculty Policy Manual, Section (policy 4.07 (ii)) and, in the case of staff, the Department Head or Director and the Vice-President, Administration.

72

QUEEN'S UNIVERSITY

REDUCED PERIOD OF RESPONSIBILITY POLICY

Following consultation with various staff constituents, this revised policy has now been approved and will go into effect immediately.

Policy Objective

The basic objectives of the Reduced Period of Responsibility policy are two fold. The policy is designed to provide individuals with the opportunity to pursue interests which may not be related directly to their responsibilities to the University and to provide the University with some degree of flexibility in utilizing its financial and human resources.

General Principles

(1) Any full-time member of the academic or support staff who currently occupies a regular full-time position and who has a minimum of two years' continuous full-time service at the University may request and may be granted appointment with a reduced period of responsibility. Such an arrangement must be mutually agreed upon and shall not be unilaterally imposed upon any staff member. The Department Head and Dean or Administrative Head concerned shall consider each such request carefully in the light of the operational needs of the Department.

(2) A reduced period of responsibility may be taken in the form of a shorter work week, or a shorter work day. Such reduced periods of responsibility will normally encompass not less than seven months of working time in the year or three days or 21 hours per week (approximately 60% working time). There may be exceptions to the above general rule, which will be dealt with on an individual basis. The staff member normally should be accorded part-time status if the working period is less than the above normal minima and if the arrangement runs for an indefinite period of time.

(3) A reduced period of responsibility will not change a staff member's normal security or rights as a regular employee of the University. As a general rule, faculty members on reduced responsibility will be considered eligible to apply for sabbatical leave after they have served the equivalent of six years full-time.

(4) The option of maintaining full fringe benefit protection at the level of the nominal annual salary or at the level of the actual salary received, will be provided where possible under the terms of the particular benefit plan, with the normal cost sharing arrangement continuing.

(5) A request to return to a full period of responsibility or to change the period of a reduced period of responsibility, whether at the initiation of the staff member or the Administrative Head, Department Head, or Dean concerned, should be made 6 months in advance (unless notice is waived by mutual consent). If there is not mutual agreement on the change in period of responsibility, whether to full-time or some other period, the Department Head, the Dean and/or the Director of Personnel Services, whomever is appropriate, will endeavour to find within one year suitable alternative employment within the University to accommodate the preference of the staff member concerned. If this cannot be accomplished then at the end of the one year period the individual should have to choose between accepting the change or resigning.

(6) The policy will be reviewed regularly.

Policy Elaboration

The policy applies to all full-time academic or support staff who currently fill a regular, full-time, twelve month position. To be eligible for a Reduced Period of Responsibility with benefits paid by the University, the staff member must have had a minimum of two years continuous full-time service with the University.

(1) All salaries will be established and quoted on an annual basis (normal salary) and paid in proportion to the time actually worked (actual salary). The option will be provided to receive payments of salary during the time actually worked or over the entire year. For example, the actual salary of a person on an 8-month reduced period (September 1 to April 30) could be paid over eight months or over twelve months. In the first-mentioned case, a person with a nominal salary of $12,000 would receive an actual salary of $8,000 at the rate of $1,000 per month for eight months. In the last-mentioned case, the actual salary of $8,000 would be paid at the rate of $666.67 per month for twelve months.

(2) Fringe Benefit plans can be continued based on the nominal salary or on the actual salary, subject to certain plan restrictions beyond the control of the University. The University will continue to pay its full share of the fringe benefit costs if the staff member makes a similar choice. For example, a person on a reduced period of 8-months who chooses to receive salary payments during the time actually worked may elect to have benefit plans continued for the other 4 months of the year.

(a) *Life Insurance*: To retain eligibility, premiums must be continued throughout the year. Coverage can be based on the nominal salary or on the actual salary.

(b) *Long-Term Disability*: To retain eligibility these premiums also must be continued throughout the year. Because of insurance carrier regulations, coverage and premiums under this plan must be based on actual salary. As this is an insurance plan, any benefits payable will not be affected by a shorter work year, i.e., L.T.D. Benefits for a person on claim will continue for as long as the illness lasts, regardless of prior leave arrangements. The normal 180 day waiting period will apply regardless of whether the employee is at work or on leave.

(c) *Supplementary Medical*: These premiums are not salary related and must be paid throughout the year to continue coverage. Thus, any medical expenses incurred will be eligible for reimbursement under the plan's terms, regardless of when they occur.

(d) *U.I.C.*: These premiums are based on actual salary payments and hence deductions will be made only during the time the staff member receives a salary from the University. If a staff member chooses to receive his pay over twelve months, U.I.C. premiums will be deducted each month in the normal manner.

(e) *Pension Plan*: The staff member has the option of maintaining contributions at the normal level based on the nominal salary matched by the University, and thus preserving maximum equity in the plan. Alternative coverage can be based on actual salary.

(f) *Ontario Health Insurance Plan (OHIP)*: Membership in the Queen's group must be maintained during the periods of reduced responsibility. For those who choose to be paid over a 12-month period, the cost of OHIP would be deducted from the monthly salary. Those who choose to be paid over the period worked, say 8 months, must make arrangements with Personnel Services to cover their share of OHIP premiums during the period when no salary will be paid.

(g) *Semi-Private Coverage*: The options and requirements for this plan are similar to those for OHIP.

(h) *Unemployment Insurance Claims*: The University is required to issue a U.I.C. record of employment certificate indicating when there has been interruption of earnings and to provide the reason for the interruption. Such certificates will be issued, for example, when salary payments cease under an 8-month period of reduced responsibility when the salary is paid over the 8-month period. Any questions regarding unemployment insurance claims should be directed to the local U.I.C. office at 51 Queen Street (542-2822).

Vacations

Vacations will be on a prorated basis in accordance with the table shown below. A staff member taking a reduced period of responsibility will normally take the vacation entitlement during the working period.

PRO-RATED VACATION SCHEDULE OF ENTITLEMENT IN DAYS

		Months of Full Employment				
		8	*9*	*10*	*11*	*12*
Normal	2 wks (10 Days)	7	8	8	9	10
Full	3 wks (15 Days)	10	11	13	14	15
Vacation	(16 Days)	11	12	13	15	16
	(17 Days	11	13	14	16	17
	(18 Days)	12	14	15	17	18
	(19 Days)	13	14	16	17	19
	4 wks (20 Days)	13	15	17	18	20
1 Month (Avg. 22 Days)		15	17	18	20	22
	(25 Days)	17	19	21	23	25

Example: Assuming a reduced working period of eight months, September 1 - April 30, and a vacation entitlement of three weeks, an individual would be entitled to 10 days vacation before April 30 or after September 1.

Sick Leave

The sick leave policy of the University provides for payments of full salary for a period of up to six months for an absence resulting from sickness or injury. The full salary referred to in the sick leave plan will be the actual salary, not the nominal salary, of a member on a reduced period of responsibility. The monthly salary payment to be continued under the sick leave plan will be that which was arranged for the reduced period of responsibility. Thus, situations may arise where monthly payments made under the sick leave plan will terminate at the end of one reduced period, commence again [illegible]e beginning of the next reduced period, and continue u[illegible]he six month salary continuance provided for in the plan is exhausted. For example, if a staff member is on a reduced period of 10/12ths (September 1 - June 30) and becomes ill in May, his/her salary will be paid until the end of June. If the staff member is still ill September 1, his/her salary will be resumed until 6 months after the staff member first became ill (subject to adjustments for any monies owing the staff member from the University).

Salary Increases

Salary increases for those on reduced periods of responsibility will be calculated on the nominal salary in the same manner as all other staff. The actual salary will be increased in proportion to the increase in the nominal salary.

Queen's Gazette Vol X No 43 Oct [illegible], 1978

AMENDMENT TO QUEEN'S POLICY ON REDUCED WORKLOADS FOR STAFF

(At the end of the document comes the following)

SPECIAL REDUCED RESPONSIBILITY

In the case of staff members aged sixty or over, a more reduced period of responsibility may be taken in the form of an even shorter work year, week, or day. Such reduced periods of responsibility will be less than the 60% referred to above but normally will encompass at least four months in the year or twelve hours per week. For those staff members, the University will maintain its share of fringe benefits on the nominal salary and will also pay the employee's share of pension costs on the difference between the nominal and actual.

GUIDELINES TO EFFECT THE "SEMI-RETIREMENT" PROVISION OF THE UNIVERSITY OF TORONTO PENSION PLAN

The University of Toronto Pension Plan provides for a "semi-retirement" status for those persons who :

- are full-time staff members at the time of the request,
- have a minimum of fifteen years' full-time service,
- are between the age of 60 (i.e., June 30th coincident with or next following their 60th birthdate), and 65, and
- have obtained the approval of the respective division head or department chairman.

The semi-retirement feature enables the staff member to reduce his/her workload at a correspondingly reduced salary while continuing benefit coverage as if on full salary. Each year of semi-retirement service counts as a full year for pension purposes in the calculation of final average earnings, and the staff member's required contribution rate will be based on "full salary". Staff are also eligible for annual salary increase consideration.

Guidelines to implement this provision are set forth below :

1) The division head, or a department chairman through the Dean in a multi-department division, should write to the appropriate Vice-President requesting approval of a reduced workload on behalf of the qualifying staff member who, in most instances, will have initiated the request. The reduction, as agreed between the department and the staff member, would normally result in a 50% workload but may not be for less than 25% full-time employment. Semi-retirement arrangements would normally be coincident with the academic appointment year.

2) If approved, the Vice-President should forward one copy of the approval to the Manager, Benefits Administration, and one to the department concerned, so that appropriate administrative action may be taken.

3) Upon receipt of Vice-Presidential approval, the department should forward to the Staff Relations Section of the Personnel Department a Status Change Form placing the person on a leave of absence.

Preparation of the Form :

Sample Status Change Forms for both academic and administrative staff are attached for guidance. Specific points to be noted include :

- "salary change" and "leave of absence" at the top of the form should be checked, as well as "academic" or "non-academic", as applicable;

... continued ...

- the appropriation account number, position, faculty and department sections completed;
- the percentage of "full-time" must show "100%" in order to maintain in the data base system the individual's full benefit entitlement even though the staff member, for salary purposes, will be less than one FTE;
- under "Reason", the semi-retirement provision should be mentioned, indicating approval of the appropriate Vice-President;
- all benefits and medical plans should be continued;
- in the "Remarks" section the reason for reduction in working time should be stated as a change in status to that of semi-retirement; and
- the full-time base salary for the current year must be shown.

A new Status Change Form will be required each subsequent year indicating the new base salary and the prorated salary figures.

For further clarification or assistance in completing the forms, please contact the Staff Relations Section of the Personnel Department, at local 2015.

att
Personnel Department
October, 1977

77

UNIVERSITY OF TORONTO

STATUS CHANGE FORM

(DO NOT FILL IN SHADED AREAS)

DATE June 1, 1977

PERSONNEL NO. XXX XXX

EXAMPLE ONLY

ACADEMIC ☐ NON-ACADEMIC	☒ SALARY CHANGE COMPLETE SECTIONS A B C	☐ DEPARTMENT TRANSFER OR PROMOTION COMPLETE SECTIONS A B C	☒ LEAVE OF ABSENCE COMPLETE SECTIONS A B D	☐ TERMINATION COMPLETE SECTIONS A E

PLEASE CHECK TYPE OF CHANGE AND COMPLETE SECTIONS AS INDICATED BELOW

TITLE	GIVEN NAMES	SURNAME
Prof.	Jane F. Doe	

SALARY CHANGE - DEPARTMENT TRANSFER, PROMOTION OR LEAVE OF ABSENCE

	CHANGE FROM (IF APPLICABLE)	CHANGE TO
APPROPRIATION ACCOUNT NO	x-xxx-xxx-xx	x-xxx-xxx-xx
% F.T.	100	100
POSITION	Professor	Professor
POSITION NUMBER		
FACULTY, SCHOOL, COLLEGE, INSTITUTE, OR OFFICE	....	....
DEPARTMENT	.....	.....

SALARY PER MONTH	SALARY PER ☒ ANNUM OR ☐ SESSION	ENDING DATE DAY	MO	YEAR	SALARY * PER MONTH	PER ☒ ANNUM OR ☐ SESSION	EFFECTIVE DATE DAY	MO.	YEAR	ENDING DATE DAY	MO.	YEAR
$2,600.00	$31,200.00	30	06	77	$1,870.00	$22,440.00	01	07	77	30	06	78

TYPE OF APPOINT	ACADEMIC RANK	FACULTY CODE	DEPARTMENT CODE	OCCUPATION CODE	TYPE OF PAY	MAIN APPOINTMENT	SALARY GRADE	INCL. IN UNIV. EST.

OTHER EXISTING UNIVERSITY OF TORONTO APPOINTMENTS

NAME OF DEPARTMENT	POSITION	SALARY	% F.T.

LEAVE OF ABSENCE

REASON: Semi-retirement provision under the University of Toronto Pension Plan as approved by the Vice-President and Provost

LEAVE OF ABSENCE

☒ CONTINUE ALL BENEFIT AND MEDICAL PLANS.

IF NOT, SPECIFY:

Current salary	$31,200
Economic	2,200
Merit	600
	$34,000 x 66% = $22,440

TERMINATION

APPROPRIATION ACCT. NO.	POSITION	EFFECTIVE DATE DAY	MO	YR		REASON FOR LEAVING

REASON FOR LEAVING

NUMBER OF VACATION DAYS:	EARNED	TAKEN
PREVIOUS UNIVERSITY YEAR		
PRESENT UNIVERSITY YEAR		

VACATION ALLOWANCE ☐ 2% ☐ 4% ☐ 6% ☐ 8%

REMARKS:

*. Dr Doe has been granted semi-retirement status based on 66% of full-time effective July 1, 1977. Base salary for benefit purposes for 1977-78 is $34,000 per annum. Dr Doe has tenure. THIS SCF SUPERSEDES INFORMATION SUBMITTED ON THE JULY 1/77 TURNAROUND DOCUMENT.

PREPARED BY:

NAME	PHONE NO.	FACULTY	DEPARTMENT
....	....	....	.....

APPROVALS

DATE ______ CHAIRMAN OF DEPARTMENT (TRANSFERRED FROM)

DATE ______ CHAIRMAN OF DEPARTMENT (TRANSFERRED TO)

DATE ______ DEAN OR DIRECTOR

78

DATE ______ COMPTROLLER

DATE ______ ACADEMIC

DATE ______ NON-ACADEMIC

DATE ______ BOARD OF GOVERNORS

FORM NO 345-0513

PAYROLL DEPARTMENT

UNIVERSITY OF TORONTO

STATUS CHANGE FORM

(DO NOT FILL IN SHADED AREAS)

DATE June 1, 1977

PERSONNEL NO. xxx | xxx

EXAMPLE ONLY

PLEASE CHECK TYPE OF CHANGE AND COMPLETE SECTIONS AS INDICATED BELOW

☐ ACADEMIC ☒ NON-ACADEMIC	☒ SALARY CHANGE COMPLETE SECTIONS A B C	☐ DEPARTMENT TRANSFER OR PROMOTION COMPLETE SECTIONS A B C	☒ LEAVE OF ABSENCE COMPLETE SECTIONS A B D	☐ TERMINATION COMPLETE SECTIONS A E

TITLE	GIVEN NAMES	SURNAME
Mr	John A.	Little

SALARY CHANGE - DEPARTMENT TRANSFER, PROMOTION OR LEAVE OF ABSENCE

CHANGE FROM (IF APPLICABLE)			CHANGE TO		
APPROPRIATION ACCOUNT NO	% F.T.	POSITION	APPROPRIATION ACCOUNT NO	% F.T.	POSITION
x-xxx-xxx-xx	100	Engineering Technologist	x-xxx-xxx-xx	100	Engineering Technologist
POSITION NUMBER		xxx-xxx	POSITION NUMBER		xxx-xxx
FACULTY, SCHOOL, COLLEGE, INSTITUTE, OR OFFICE			FACULTY, SCHOOL, COLLEGE, INSTITUTE, OR OFFICE		
DEPARTMENT			DEPARTMENT		

SALARY		ENDING DATE			SALARY *		EFFECTIVE DATE			ENDING DATE		
PER MONTH	PER ☒ ANNUM OR ☐ SESSION	DAY	MO	YEAR	PER MONTH	PER ☒ ANNUM OR ☐ SESSION	DAY	MO	YEAR	DAY	MO.	YEAR
$1,200.00	$14,400.00	30	06	77	$662.50	$7,950.00	01	07	77	30	06	78

TYPE OF APPOINT	ACADEMIC RANK	FACULTY CODE	DEPARTMENT CODE	OCCUPATION CODE	TYPE OF PAY	MAIN APPOINTMENT	SALARY GRADE	INCL. IN UNIV. EST.

OTHER EXISTING UNIVERSITY OF TORONTO APPOINTMENTS

NAME OF DEPARTMENT	POSITION	SALARY	% F.T.

LEAVE OF ABSENCE

REASON: Semi-retirement provision under the University of Toronto Pension Plan as approved by the Vice-President -................

☒ CONTINUE ALL BENEFIT AND MEDICAL PLANS.
IF NOT, SPECIFY:

Current Salary	$14,400
Economic	1,152
Merit	348
	$15,900 x 50% = $7,950

LEAVE OF ABSENCE

TERMINATION

APPROPRIATION ACCT. NO.	POSITION	EFFECTIVE DATE DAY	MO	YR.	[illegible] CODE	REASON FOR LEAVING

REASON FOR LEAVING

NUMBER OF VACATION DAYS:	EARNED	TAKEN
PREVIOUS UNIVERSITY YEAR		
PRESENT UNIVERSITY YEAR		

VACATION ALLOWANCE: 2% ☐ 4% ☐ 6% ☐ 8% ☐

REMARKS:

* Mr Little has been granted semi-retirement status based on 50% of full-time effective July 1, 1977. Base salary for benefit purposes for 1977-78 is $15,900 per annum.

THIS SCF SUPERSEDES INFORMATION SUBMITTED ON THE JULY 1, 1977, TURNAROUND DOCUMENT.

PREPARED BY:

NAME	PHONE NO.	FACULTY	DEPARTMENT
....	....	....	... .

DATE ______ CHAIRMAN OF DEPARTMENT (TRANSFERRED FROM) ______

DATE ______ CHAIRMAN OF DEPARTMENT (TRANSFERRED TO) ______

DATE ______ DEAN OR DIRECTOR ______

DATE ______ COMPTROLLER ______

APPROVALS

DATE ______ ACADEMIC ______

DATE ______ NON-ACADEMIC ______

79

DATE ______ BOARD OF GOVERNORS ______

FORM NO. 241 8517

PAYROLL DEPARTMENT

UNIVERSITY OF WATERLOO POLICY

Number: 59
Effective Date: October 2, 1979
New

SUBJECT: REDUCED WORK LOAD

I. GENERAL

A. Under certain circumstances, faculty and staff members who hold regular positions may reduce the daily, weekly, monthly or annual period of work of a position to as low as 50% of that established for a similar regular position and participate in the University Pension and Benefits Plans as outlined below in this Policy.

B. The extent of participation in the University Pension and Benefits Plans in any reduced work load arrangement will be dependent upon three (3) factors:

1. The degree of reduction in the work load.
2. The proximity of the individual's normal retirement date as defined in the University of Waterloo Pension Plan text.
3. The length of time in the employ of the University at the time of commencement of the reduced work load.

II. DEFINITIONS

For the purposes of this Policy the following definitions apply:

"Actual Salary" means the reduced salary paid to an individual under an approved reduced work load arrangement.

"Nominal Salary" means the salary the individual would have received annually had there not been a reduced work load arrangement.

III. REDUCED WORK LOAD FOR FACULTY AND STAFF UNDER AGE 55 OR WITH LESS THAN TEN (10) YEARS OF CONTINUOUS SERVICE

Faculty or staff members who have reduced time commitments may maintain pension and benefits participation as follows:

A. Pension Plan - Contributions and pension credits will be based on the Actual Salary paid in each calendar year and on each calendar year's time commitment.

B. Long Term Disability Benefit - Premiums and benefits will be reduced in the same proportion as the reduction in the individual's time commitment.

C. Group Life Insurance - Existing options and premium sharing arrangements will be available and will be based on the Actual Salary.

D. O.H.I.P. - Coverage and premium cost-sharing will be continued.

E. Supplementary Medical Insurance - Coverage will be continued.

F. Sick Leave - Sick Leave, accumulated and paid, will be appropriately proportionate to the individual's reduced time commitment. However, it should be noted that Sick Leave may only be used during a period when the member is normally scheduled to work.

G. Vacation - The member will receive an appropriately reduced amount of vacation credit.

H. Canada Pension Plan, Unemployment Insurance, Workmen's Compensation - These benefits will be available according to the applicable government regulations.

IV. REDUCED WORK LOAD FOR REGULAR FACULTY OR STAFF MEMBERS WHO HAVE ATTAINED AGE 55

Faculty or staff members who have approval for a reduced work load may maintain Pension and Benefits participation, provided they have attained age 55 and have completed ten (10) years of uninterrupted service as a regular faculty or staff member, immediately prior to commencement of the reduced work load arrangement.

All University Pension, Benefits and contributions, will be based on the Nominal Salary except that Long Term Disability Benefits and payment during Sick Leave will be based on the Actual Salary and reduced work load time commitment. Sick Leave credits may be used only during a period when the member is normally scheduled to work.

V. SALARY DURING A REDUCED WORK LOAD

Members on a reduced work load arrangement will continue to participate in the appropriate University salary program.

VI. REDUCED WORK LOAD ARRANGEMENTS

All reduced work load arrangements will be recommended in writing by the Dean (Academic Departments) or Department Head (Non-academic Departments) to the President. Details of the final reduced load arrangement will be confirmed in writing. Because of the technical and legal complexity involved in such arrangements, no arrangement will be considered complete until such a document has been prepared and signed.

VII. BENEFITS, CHANGES AND COST SHARING

Any changes in the Pension and Benefit Plan approved by the Board of Governors shall apply to members on an approved reduced work load arrangement. Cost sharing arrangements for a person on reduced work load will be adjusted to remain proportionate to benefit and pension costs paid by a person on full load.

VIII. SALARY PAYMENT DURING REDUCED LOAD

Arrangements may be made to spread reduced work load salary payments through the year in twelve monthly payments.

IX. DURATION OF PROGRAM

The University has received approval to institute a reduced work load program from the Department of National Revenue for a period of five (5) years ending June 30, 1984, subject to a further extension being granted by the Department of National Revenue. Anyone entering the program within the next five (5) years would continue until he or she reaches his or her retirement age, as established by his or her date of commencement of employment with the University of Waterloo.

RECOMMENDATIONS ON
ALTERNATIVE CAREER OPPORTUNITIES, RETENTION & DEVELOPMENT OF FACULTY
(ACORD)

prepared by

The Office of the President

and

The University of Western Ontario Faculty Association

18 March 1980

Introduction

Following the publication of the Report of the Presidential Committee on Faculty Development (Pepper Commission), and the review of the report by the Joint Committee of the Administration and the Faculty Association, the Administration and the Faculty Association have agreed to propose jointly to Senate the adoption of the recommendations specified below.

Recommendations

1. Reduced Responsibility Policy

That in order to enable full-time tenured faculty members to alter their existing full-time arrangement with the University, a Reduced Responsibility Policy, as outlined in Appendix A , be adopted.

2. Professor Emeritus Title

That faculty members taking early retirement under the new Early Retirement Compensation Plan be eligible for the privileges awarded to the status of Professor Emeritus on the recommendation of the faculty concerned. That the current procedure for the awarding of the title of Professor Emeritus be applicable to the above faculty members. The policy relating to the privileges and title of Professor Emeritus for persons who retire under the new Early Retirement Compensation Plan will be reviewed in three years.

3. Full-Time Administrative & Counselling Staff Positions

That a faculty member electing to accept a full-time administrative or counselling staff position within the University be permitted a period of up to two years during which he/she would retain his/her tenure. Both faculty and tenure status would, however, be given up at the end of the negotiated transitional period. During this period, the faculty member could indicate in writing to the Vice-President (Academic) on three months' notice that he/she wished to return to the former academic rank and position in the next academic year.

4. Educational Leave - Alternative Training

That in order to provide the opportunity for certain faculty members to build new academic careers based on their experience but qualifying them to function in another academic area or discipline, an educational Leave for Alternative Training Policy, as outlined in Appendix B, be adopted. (1)

---

(1) The amended terms of reference of the ADF provide for the funding--where necessary--of replacements for faculty members on leave for alternative training. It is noted that a large number of such requests would exert an undue drain on the ADF, and it is suggested that the number of funded leaves for alternative training be subject to a ceiling to be defined by consultation between the Chairman of the Senate Leave Committee, SUPAD, and the Vice-President (Academic).

5. Sabbatical Leave Remuneration

That the upper limit for total remuneration from salary and external sources be raised to 125% of salary plus travel expenses where justified.

In exception circumstances, a higher figure might be recommended by the Senate Leave Committee and will be subject to the approval of the Vice-President (Academic).

6. Sabbatical Leaves After Three Years

That a six-month sabbatical at 75% salary after three years of service be made available but only a) in exceptional circumstances, b) at the discretion of the Dean and the Vice-President (Academic), and c) for tenured members of the faculty.

7. Exchange Leaves - Policy

That an Exchange Leave Policy, as outlined in Appendix C, be adopted, it being understood that the role of the central administration will be limited to a) negotiation with other institutions, b) annual publication of opportunities if available, and c) facilitating approved exchanges within approved policies or relevant University practices.

8. Exchange Leaves - Funding

That funds for the relocation expenses of faculty members participating in exchange leaves be provided according to existing policy and that a specific budget line be established with its level subject to the salary/benefits negotiation process. The guidelines for the relocation expenses would be contained in the Moving Allowances Policy.

9. Sabbatical Credit

That periods of Educational Leave for Alternative Training and Exchange Leaves be counted toward sabbatical entitlement with the understanding that a faculty member will not normally be permitted to be absent for more than two years in any seven-year period.

10. Leaves - General

That with respect to all types of paid leave, normally a minimum period of two years should elapse between any two successive leave periods but that this period could be modified in individual cases at the discretion of the Senate Leave Committee and subject to the approval of the Vice-President (Academic).

11. Teaching

That the Provost's Advisory Committee on Teaching and Learning:

a) devise some means of recognizing excellence in teaching, possibly in the form of annual teaching awards, and that this recognition be given due weight in promotion and tenure decisions.

b) continue to mount orientation programs for new instructors and graduate teaching assistants and that it also offer special programs for teachers of first-year courses.

c) offer a program of consultation to faculty and teaching assistants since PACTL considers individual consultation to be the best method of improving teaching. Where necessary, release time should be given members of the faculty deeply involved as consultants in such programs.

d) initiate a review of the methods presently in operation for evaluating teaching at Western with a view toward making suggestions for improvement.

12. Alternative Work Loads

That the possibility of individualized work loads for tenured faculty members be accepted as outlined in Appendix D on the understanding that a) only one of teaching, research, administrative/community service may be excluded, and b) some reasonable departmental balance between teaching and research be maintained.

13. Leave of Absence Without Salary

That a revised policy statement on leaves of absence without salary, as outlined in Appendix E, be adopted.

14. The University of Western Ontario Act

Notwithstanding the terms of policies that may be adopted as a result of these recommendations, the Board of Governors will retain the responsibilities assigned to it under The University of Western Ontario Act, Section 21 and may, from time to time, approve special arrangements for individual faculty members.

15. Review

That the Senate review this report and the programs recommended in 1987.

Concluding Notes

This report includes only those major suggestions of the Pepper Commission which both the Administration and the Faculty Association agreed to recommend to Senate. A letter of agreement, as outlined in Appendix F, specifying options and administrative procedures for other items in the Pepper Commission Report is attached for information. A brief overview of the complete recommendations of the Pepper Commission and the responses of the Administration and the Faculty Association is given in Appendix G.

Reduced Responsibility Policy

Policy Statement: Reduced Responsibility implies the redefinition of the contact period* of an individual faculty member's current appointment from regular full-time to less than full-time but on a regular basis.

Eligibility: All tenured members of the academic staff are eligible to apply. In exceptional circumstances consideration may also be given other regular full-time members of the academic staff.

General Principles:

1. Reduced Responsibility appointments are of a regular ongoing nature, i.e.. continuing from year to year with no defined termination date other than retirement.

2. Within the initial two-year period, return to full-time status will be automatic at the request of the member of faculty, but thereafter return to full-time status will require the mutual agreement of both the faculty member and the University.

3. Under this policy the level of salary will bear the same relation to the full-time salary as the new contact period to full-time responsibilities.

4. Salary increases will occur as if the current full-time salary were to continue but will be applied pro rata based on the relationship as in 3. above.

5. Eligibility for and participation in all group insurance plans, legislated plans and pension will continue as is or as amended from time to time, but coverage will be on a pro rata basis (where appropriate). Subject to Department of National Revenue approval, for those over age 55 contributions by the employer and employee to pension and group insurance plans and benefits therefrom will be on the basis of the deemed continuance of the full-time salary.

6. Salary payments will continue to be made on a monthly basis over twelve months.

7. Vacation and sick leave entitlement will be on a pro rata basis. Sick leave will be paid only during the established contact period.

8. Faculty on reduced responsibility will be eligible for promotion.

Procedure:

1. Application for reduced responsibility status outlining in detail the proposed arrangements will be made by the individual faculty member through the chairman (where such exists) to the dean.

APPENDIX A

2. Should the dean (and chairman) agree to the request, the request will be forwarded to the Vice-President (Academic).

3. Subject to delegation of authority by the Board of Governors, the final decision will be made by the President, acting upon the advice of the Vice-President (Academic).

4. The decision of the President is final and is not subject to grievance under the Conditions of Appointment.

5. Details of the final reduced repsonsibility arrangements will be confirmed in writing and signed by both parties.

6. Requests for amendments to the contact period of reduced responsibility arrangements must follow the foregoing procedure.

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*Definition: Contact period is the stated or implied period of commitment of the individual's time to the University and his/her function therein according to the University's calendar of operations and its personnel policies.

WILFRID LAURIER UNIVERSITY
REDUCED WORKLOAD FOR FACULTY & STAFF

One of the appointment categories for tenured faculty members at Wilfrid Laurier University involves a reduced workload and a correspondingly reduced salary. This appointment category is described as follows in sections 2.11.10(e) of the Faculty Manual:

When it is mutually satisfactory to the University and a tenured faculty member at Wilfrid Laurier University, that faculty member may negotiate a reduced load for a specific term. These negotiations can be initiated by the individual faculty member or by the University. However, such negotiations are not to be construed in any way as a right of the individual faculty member or a right of the University, and either the faculty member or the University can reject the initial request by the other to consider these negotiations. A reduced load implies a reduction in the amount of time devoted to the duties outlined in the Faculty Manual under section 2.20, and implies reduced compensation. However, the faculty member's reference salary (i.e. the annual gross salary to which he would have been entitled had he continued in his full-time appointment, excluding any additional stipends or other special income) and his actual salary will include the appropriate proportion of all adjustments he would otherwise have received. In addition, his fringe benefit program will continue in full with the following exceptions:

1. *Life insurance: the University and the faculty member will be bound by the limits placed upon coverage established by the carrier.*

2. *Long term disability: the University and the faculty member will be bound by the limits placed upon coverage established by the carrier.*

3. *Pension Plan: the faculty member may choose to contribute to the plan on the basis of his reference salary or his actual salary. His benefits will be determined by his contributions. The faculty member is referred to page* B39 *of this manual for information which explains his contributions and his benefits for each of these two options.*

It is expected that a faculty member on reduced load would contribute to teaching, scholarly activities, and service, but not to the same extent as a member on a full load. A faculty member with a Tenure Appointment with Reduced Load has all the rights of tenure as defined in section 2.14.

It is possible that the Department and the University may pair such a Tenure Appointment with Reduced Load with a non-Tenure Appointment with Reduced Load.

Similarly it is possible for a full-time staff member to negotiate a reduced load for a specific term. The negotiation may be initiated by the staff member or the university but either party may reject an initial request by the other for such negotiations.

General Procedure

The Vice-President: Academic and the appropriate Dean shall represent the University in negotiating a reduced load with a faculty member. Negotiations with other employees shall be, in each such case the responsibility of the Vice-President: Administration and Finance and the appropriate Director, or the equivalent. In all instances if an agreement is reached, it shall be executed in writing and shall require approval by the Board of Governors.

General Provisions

Normally, the university will enter negotiations for a reduced workload with an employee only if that employee has accumulated at least ten years of continuous full-time service and is within ten years of his normal retirement age.

Except for benefits related to salary, a reduced workload will not change an individual's normal security or rights as a regular faculty member or staff member of the University. A faculty member on a reduced workload shall accumulate sabbatical leave credit at a rate proportional to his workload.

When a reduced workload is negotiated, the duration of the agreement must be specified. Normally the University shall require that the term of the agreement be at least twelve months.

Salaries

The reference salary shall be subject to normal salary adjustments from time to time. During the negotiated period of service under the reduced workload, the salary received by the employee shall be a negotiated proportion of the reference salary.

Benefits Not Related to Salary

Employee benefit plans which are not affected by a change in salary shall continue to be available during a period of reduced workload under the terms of the cost-sharing arrangements applicable to full-time employees. The following benefits fall in this category:

a) Ontario Health Insurance Plan (OHIP)
b) Extended Health Insurance
c) Dental Plan
d) Additional Life Insurance

Benefits Related to Salary

Subject to certain plan restrictions which are beyond the control of the University, an employee on reduced workload shall have the option of having salary-related benefits based on his actual salary or his reference salary. The prevailing cost-sharing arrangement shall apply to both employee and employer contributions based on the salary relative to which benefits have been defined. The following plans are in this category.

a) Life Insurance:
Group Life Insurance will be based on the reference salary at the beginning of the reduced workload term. However, during that term coverage may not be increased unless the actual salary reaches a level in excess of the initial reference salary, at which time the employee may choose coverage based on his actual salary. This freeze in the coverage applies only to employees who choose to base the amount of insurance on the reference salary and it terminates at the expiry of the reduced workload agreement. It should be noted that this restriction applies only to the salary-related component of the life insurance plan and an employee's reduced workload status shall not affect the availability of coverage under the Additional Life Insurance component of the plan.

b) Long Term Disability:
Long Term Disability benefits and premiums will be based on actual salary. Other terms and conditions of this insurance are not affected by reduced workload status. It should be noted that throughout a period of disability, which could exceed the reduced workload term, the benefits would be based on the actual salary as of the time the disability occurred.

c) Pension Plan:

During a reduced workload term, an employee may choose to contribute to the plan on the basis of his actual salary or his reference salary. The University's contribution to the employee's Money Purchase account will match that of the employee. Benefits available under the Minimum Guarantee provisions of the plan are affected by this choice as follows: when the employee contributes on the basis of his reference salary, each year of service counts fully in the calculation of his guaranteed pension, when he contributes on the basis of his actual salary, he accumulates "years of service" credit towards the guaranteed pension at a rate which is in the same ratio as his actual salary bears to his reference salary. However, this choice affects only the "years of service" calculation and in all cases the reference salary will be used in calculating the "five year average salary" factor in the formula determining the guaranteed pension.

2.17.20 Suspension and Dismissal:

Suspension and dismissal are defined, and institutional and individual actions associated with suspension and dismissal are explained in sections 2.32.12 and 2.35.30.

2.18 RETIREMENT

2.18.10 The standard retirement age shall be sixty-five (65), unless the faculty member opts for earlier retirement as provided for in the University pension plan.

2.18.20 The retirement date of a faculty member will be the first day of July coinciding with or next after the member's 65th birthday.

2.18.30 A faculty member's University tenure and employment at the University cease upon retirement. The University may, at its discretion, contract with a retired faculty member for academic services on an ad hoc basis.

2.18.40 The details of retirement benefits and matters related thereto, are governed by the University's master benefits plan. This can be obtained from the University's payroll office.

2.19 REDUCTIONS IN ACADEMIC APPOINTMENTS FOR BUDGETARY REASONS

2.19.10 Guidelines

(a) The first duty of the University is to ensure that its academic priorities remain paramount, particularly in regard to the quality of instruction and of research. When faced with budgetary restrictions the University must ensure the primacy of its educational functions by considering cuts in academic posts only after reasonable cuts have been made in all other budgetary areas, including budgetary reserves.

(b) As a matter of principle and in order to ensure that decisions on cutbacks for financial reasons are not made on an ad hoc basis in an atmosphere of crisis, the University should undertake both short- and long-term forecasts of its budgetary position, and should make such forecasts available to budget committees.

(c) The University should make every effort to utilize normal retirements, voluntary early retirements, and leaves of absence to mitigate the effect of cutbacks. Wherever advisable, the University through its Vice-President: Academic should encourage and facilitate the transfer of members from one Department to another or from one Faculty to another where the member is qualified and the need exists.

2.19.20 Procedures

(a) A budget decision which necessitates the consideration for any faculty reduction has profound academic implications and requires early Senate involvement in its formulation. The Senate Finance Committee, in its negotiations with the Board Finance Committee, must have access to all relevant budgetary information and must pursue all possible alternatives to avoid the kind of budgetary restrictions which could lead to faculty cutbacks. It shall report its findings to the Senate before the Board of Governors meets to consider a proposed budget. The Senate will report its recommendations to the Board. At no time will the Board of Governors approve a budget which involves the possible elimination of faculty posts without giving the Senate a realistic opportunity to submit its recommendations.

(b) If a budgetary restriction, involving the possible elimination of faculty posts, is approved by the Board of Governors, the Senate should formally discuss the available alternatives and it should make a decision as to whether the necessary budget reduction is to be accomplished by a revision of academic priorities, or by a strictly arithmetic formula, or by a combination of these. In these deliberations the Senate must be provided with adequate budgetary information in order that it may reach an informed decision.

(c) If the decision of the Senate involves a reduction in faculty appointments, it should determine also the number and general distribution of such reductions. Each Faculty concerned should determine the distributions amoung Departments in the light of the priorities established by the Senate.

(d) After each Faculty concerned has determined the distribution among Departments, each Department concerned should assure that academic criteria determine the necessary reduction. The Department, after full consultation among its members and giving due consideration to tenure and service, will then make recommendations about particular posts to be cut and about individuals concerned.

If the Department is unable to make recommendations in the context of budgetary cutbacks, the Dean will make recommendations, after consultation with the Chairman, to the Vice-President: Academic.

(e) Reductions in academic appointments for budgetary reasons cannot be considered to cancel or supersede for either tenured or untenured faculty members the procedural protections that exist for the maintenance of academic freedom.

(f) In the event that faculty cutbacks affect tenured faculty positions, the professor concerned should be given an opportunity to consider retraining, early retirement or resignation with suitable severance pay. However, a tenured faculty member must be offered the same procedures as are available to all tenured faculty members considered for dismissal if he is not convinced that his resignation is required by financial exigency, either because the procedures outlined above have not been properly followed, or because he challenges the determination that it is his position that must be removed.

(g) Tenured faculty whose appointments have been terminated for budgetary reasons shall be offered, within four years of the end of the academic year in which the final decision has been made, the first available appointment in their field. Thereafter they should be given serious consideration for any new appointments in their field. In such cases where a faculty member has already been evaluated by the usual procedures and recommended for tenure, but budgetary constraints do not allow the recommendation to take effect, the same guidelines should apply.

(h) Non-tenured faculty in the second Two Year Appointment whose appointments have been terminated or not renewed for budgetary reasons, must be offered reappointment under the terms of their original contract when such reappointments become available. This procedure is to apply for three years following the initial termination. After such time the individual concerned should be seriously considered for pertinent new appointments.

(i) Should a laid-off member be recalled, his entitlement to seniority, tenure, sabbatical leave, and progression in rank as it relates to career development shall be as if no lay-off had taken place.

(j) Any non-renewals or denials of tenure deriving from budgetary considerations should be subject to the faculty grievance procedures outlined in the Faculty Manual.

is necessary, the faculty member so affected shall not be assigned summer teaching without his/her consent for the three (3) subsequent summers.

Reduced Load

18.24 Employees may apply to their Dean/Director of Libraries or designate for a reduced load for a specified period of time. If such a reduction is granted, such employees shall be designated as "full-time; reduced load" and shall remain members of the bargaining unit. Salary and the Employer's contribution to salary-based fringe benefits will normally be reduced in proportion to the workload reduction, as will the credited years of service toward sabbatical leave and consideration for tenure.

18.25 An employee granted "full-time; reduced load" status may, at his/her own expense, maintain his/her salary-based fringe benefits on a full-rate basis. Employees applying for such status may also apply for a continuation of the Employer's contribution to salary-based fringe benefits on a full-rate basis, and the Employer may approve same, depending upon the nature of the reduction in load and the Employer's judgment as to the degree to which it is in the interests of the University as well as the employee.

Redeployment of Faculty Members

18.26 The parties agree that effective use of the University's resources, and the prevention of lay-offs for reason of financial necessity, require, *inter alia*, mechanisms for the redeployment of employees from one Faculty to another and/or one Department to another within a Faculty. Normally, such redeployment is effected with the consent of the individual employee and the Deans and Chairpersons of the Faculties and Departments involved. The parties recognize, however, that in exceptional circumstances the effective management of the University's academic work may require that employees be transferred from their Faculty/Department of original appointment on either a short-term or a permanent basis without their consent. Such compulsory transfers shall be of two (2) kinds.

Short-term Transfer

18.27 Compulsory secondment of an employee to a unit other than the unit of his/her appointment, for a portion of his/her teaching duties, would normally be occasioned by:

(a) efforts to implement a Senate-approved decision establishing particular academic priorities or emphases among programmes/units or within programmes/units;

(b) enrolment patterns which create serious imbalances in teaching loads of a kind which could be alleviated by transfers.

18.28 Such secondments shall be effected only after consultation among the Dean(s) and Chairperson(s) concerned and the employee. The Dean of the "home" unit shall confirm a decision about secondment in writing to the employee, with a copy to the Association, at least four

(4) months prior to the date on which the transfer is to become effective.

The written notice of the decision shall indicate:

(a) the reasons requiring the secondment from the one unit to the other;

(b) the reasons for the selection of the particular employee for secondment.

Permanent Transfer

18.29 Compulsory permanent transfer, in which case the employee's unit of appointment is changed, would normally be occasioned by:

(a) efforts to implement a Senate-approved decision establishing particular academic priorities or emphases among programmes/units or within programmes/units;

(b) significant and long-term changes in enrolment patterns which create serious imbalances in teaching loads of a kind which could be alleviated by transfers.

18.30 Permanent transfers shall be effected by the President or designate, only after consultation among the Dean(s) concerned, the Chairperson(s) concerned, and the employee. The President or designate shall confirm a decision to transfer to the employee in writing at least seven (7) months prior to the date on which the transfer is to become effective. The written notice of the decision shall indicate:

(a) the reasons requiring the permanent transfer from the one unit to the other;

(b) the reasons for the selection of the particular employee for permanent transfer.

18.31 Sixty (60) days prior to the conveying of notice of permanent transfer to the employee, the President or designate shall inform the Joint Committee on the Administration of the Agreement of his/her intention to make a permanent transfer between the units in question, and shall provide documentation setting forth the need for or advisability of the transfer. A copy of this letter shall be sent to the Departments/Faculties involved.

18.32 Employees who are transferred will retain tenure, rank, seniority, salary, and years of service toward sabbatical leave and pension, and all similar entitlements.

18.33 No employee shall be compulsorily transferred during his/her period of candidacy.

Working Environment

18.34 The Employer recognizes its responsibility to provide an adequate level of facilities and services in support of the work of employees, including provision of reasonable office space, telephone, secretarial, library, computing, duplicating, technical, and other support services. The Employer recognizes, too, a responsibility to provide sufficient facilities, supplies, and services to protect the health and safety of employees as they carry

VIII

D. Voluntary Reduced Workload

1. A regular Faculty member will be granted up to a fifty percent reduction in teaching workload with a proportionate reduction in salary, provided that:

(a) the Faculty member has a minimum full-time service of five years,

(b) the reduction normally will be effective for a twelve month period,

(c) the request is made to the Chairman six months in advance,

(d) the Chairman is able to make suitable arrangements to cover the remaining teaching workload,

(e) the Institute reserves the right to limit the number of Faculty members on reduced workload at any one time to not more than five percent of the total number of Faculty members.

2. Notwithstanding section 1(b) above, the Institute will make every reasonable effort, upon request, to grant voluntary reduced workload for periods longer than twelve months and/or renewals of twelve month reduction periods, subject to the other provisions of this clause.

3.
(a) During the period(s) of reduced workload/reduced salary, a Faculty member shall receive benefit coverage as a full-time teacher, except that salary-related benefits shall be based on the reduced salary level.

(b) Subject to applicable pension plan provisions, the Faculty member and the Institute will continue to contribute to the pension plan on the basis of the Faculty member's full normal salary level, with the objective of not affecting adversely either the Faculty member's future pension or the funding basis of the pension plan. Each Faculty member should seek the advice of the Personnel Department in advance of requesting reduced workload to determine the effect, if any, of the specific

provisions of the applicable pension plan in which the Faculty member is participating.

SHARED APPOINTMENTS

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X POLICY WITH RESPECT TO ADJUNCT FACULTY APPOINTMENTS

10.01 The purpose of adjunct appointments is to recognize and encourage interaction between the University and persons in business, government, education and the arts for their mutual benefit. Adjunct appointments may be granted to persons within or without the University who are qualified to carry specific responsibilities within a Department related to teaching or research. Adjunct appointments will carry the title of Adjunct Professor and will be listed in the Undergraduate Calendar of the University.

10.02 Adjunct appointments should be made on the advice of the Department appointments committee and must be approved by the Chairman of the Department, the Dean of the College concerned and the Vice-President Academic. Adjunct appointments will be made for a period of one to three years.

(vi) The faculty member will be listed in the calendar under the major department and the listing will include an indication of the joint appointment in the minor department.

(vii) It is expected that the faculty member will normally not be provided with more than one office.

Faculty Responsibilities Under Joint Appointment

9.03 The faculty member holding a joint appointment is expected to undertake the normal faculty responsibilities described in the policy statement on Faculty Responsibilities. The faculty member will be responsible to both department chairmen and will carry responsibilities in each department in proportion to the division agreed to. The faculty member will be eligible for election or appointment to any committee in both departments with the exception of the Department Committee in the minor department and when the two departments are not in the same college, the College Committee for the minor department.

Review For Tenure, Promotion and Selective Increase

9.04 The faculty member will be reviewed by the Department Committees of both departments and the Chairman of the minor department will be an additional member of the Department Committee in the major department when the faculty member is being reviewed.

9.05 Where the two departments are in different colleges the faculty member will be reviewed by the College Committee for the major department. The Dean of the College in which the minor department is located will be an additional member of the College Committee when the faculty member is being reviewed.

Faculty Members Currently Carrying Responsibilities in Two Departments

9.06 It is recognized that there are some faculty members currently carrying responsibilities in two departments even though there are no formal arrangements or policies governing joint appointments. These faculty members may wish to hold joint appointments under this policy. Alternatively, the current arrangements for these faculty members will continue even though the arrangements may not conform with these statements.

IX. POLICY WITH RESPECT TO JOINT APPOINTMENTS

Preamble

9.01 Normally, a faculty member will hold an appointment in one department of the University only. However, where the interests and capabilities of a faculty member are coincident with the needs and aims and objectives of two departments he may hold a joint appointment in the two departments. A joint appointment is intended to facilitate extensive involvement of a faculty member in a broad range of activities in a second department. As such, it involves a division of budgetary funds between the two departments.

Terms of Joint Appointment

9.02 Joint appointments will be made on the following bases:

(i) A faculty member will hold a joint appointment in not more than two departments. The two departments may be in the same college or in different colleges. There will be no joint appointments with Centres.

(ii) At least sixty per cent of the faculty member's effort will be in one department (the major department) and not less than twenty per cent in the department of joint appointment (the minor department).

(iii) The faculty member should normally hold a full-time probationary or tenured appointment.

(iv) The consideration of the establishment of a joint appointment may be initiated by a faculty member, a Chairman of a Department or a Dean of a College. A joint appointment should be made on the advice of the Department appointments committee in each department.

(v) To take effect, the division of faculty effort and budgetary funds and the commitment of research facilities, equipment and graduate student space and financial support must be agreed to by the faculty member, the department chairmen and the college dean(s) concerned. The nature of the terms of the joint appointment will be reviewed biennially by the faculty member, the department chairmen and the college dean(s) concerned.

V A.2

(b) A Faculty member on paid leave may receive outside remuneration up to the difference between his salary while on leave and his normal salary. If greater outside remuneration is received his entitlement from the Institute will be reduced by one-half the excess.

OISE

CROSS-APPOINTMENTS OF ACADEMIC STAFF TO DEPARTMENTS	Policy	
	Date	Page
	October, 1972	1
	Revised June 1976	

Institute policy requires that all staff having academic rank have a home department even if their job is wholly or largely not within a department. Those referred to here are academic appointments in field centres and in central administrative offices. In some cases such appointments have nominal cross-appointments to a department (i.e. no salary contribution and no duties) and in others they have a minor cross-appointment (i.e. less than 50% of salary and time). These guidelines are concerned with the various conditions which apply to such persons and to the departments to which they are cross-appointed.

1. In all cases the staff member has the normal rights of membership in the on-going affairs of the department though he or she can be expected to participate only in relation to the amount of time assigned to departmental duties.

2. A staff member who is moved from a major appointment in a department (i.e. over 50%) to a non-departmental position retains his membership in that department and may return full-time to it when he or she desires to do so. In such cases it may be temporarily necessary to exceed complement and establishment figures for the department until solved by attrition.

3. Other faculty presently in non-departmental positions are in the same position as those in (2) above except for some recent appointments where there has been agreement to the contrary at the time of appointment.

4. When a new appointment is made to a non-departmental position with academic rank it will be assumed not to carry with it the right to move voluntarily to full-time work in the department to which he or she is cross-appointed. If the position disappears, however, or if a term of office expires, the normal provisions of the job security policy apply. This means, in brief, that the Institute has an obligation to place them in another position if it is at all possible to do so. At that later time, this may well involve the cross-appointed department but that would be a matter to be solved when and if the occasion arose.

5. In the process of making a new appointment to a non-departmental academic position there must be consultation with a department as soon as it is possible to identify the appropriate department. The department's primary concern should be the appropriateness of the proposed academic rank. It should not be concerned with the suitability of the candidate for the non-departmental position because another search committee will have that responsibility. Because search procedures are often at an advanced stage before the appropriate department can be identified, departments should be prepared to make a decision about the cross-appointment with all possible speed.

6. All matters relating to the academic rank of the non-departmental cross-appointees are handled through the mechanism of the department but there must be full consultation with the head of the non-departmental units as well as with the candidate. In consulting with the head of the non-departmental unit, the department may request that person to develop substantiation for the case. This includes academic promotion (and tenure, if and when it exists). Salary recommendations are the concern of the department only to the extent to which it pays part of the salary.

	Policy	
CROSS-APPOINTMENTS GUIDELINES	Date	Page
	1966	1 of 7

The principle of cross-appointment is welcomed as a sound and mutually useful bridge between the Institute and various divisions of the University.

The following guidelines have been established through discussions of principles in the U. of T. – OISE Liaison Committee.

1. The terms of a proposed cross-appointment should first be worked out to the satisfaction of the individual professor concerned. The appropriate chairman of Department in the University, and the appropriate chairman of Department in the Institute. Such terms should include agreement as to the proposed division of the professor's time and responsibilities. Before a formal recommendation can be made in the University, the department chairman there will need to consult with his dean; in the Institute, the department chairman will need to consult with the Assistant Director and, if graduate teaching is proposed as a part of the individual's duties, with the Coordinator of Graduate Studies.

2. In the interests of simplifying such matters as accounting, pension entitlement, and personnel policies generally, the *full* salary will be determined and paid by whichever of the University or the Institute has the larger portion of the man's time. The institution having the lesser portion will reimburse the other institution for an agreed-upon portion of the man's salary and of pension costs. The first half of such payment will be made at the end of September of a given year, the other half at the end of December.

    (A) To ensure that a cross-appointed staff member is not wrongly classified as a part-time employee by his primary employer (i.e., the institution responsible for the majority of his salary), appointment forms should show the total salary, with a note to the effect that the primary employer is to be reimbursed by the other institution in the amount of X dollars.

    (B) The amount payable to the primary employer by the other institution on account of pension for a cross-appointed staff member shall be calculated in accordance with the example and formula attached as Appendix A.

3. A cross-appointment may be for a specific year for a specific purpose, or it may be entered into with anticipation of continuation for an extended period. It is important that the precise arrangement be understood and agreed to by the three parties concerned. A cross-appointment is terminated with the consent of the three parties involved, at the request of any one of the three.

4. A professor cross-appointed between the University and the Institute shall be eligible for tenure only in whichever institution is in fact responsible for the major part of his salary. An OISE professor who is also a member of the Department of Educational Theory of the School of Graduate Studies may thus hold tenure in the Institute but not in the University, unless he holds a cross-appointment in some other department of the University for more than fifty percent of his salary. In the latter case he could be eligible for tenure in the University, but not in the Institute.

5. Should the institution responsible for the lesser portion of a cross-appointee's salary wish to terminate the cross-appointment, for purposes of budgeting, notice should be given to the other institution before the beginning of the fiscal year at the end of which it is proposed to terminate the cross-appointment.

Appendix A

PENSION CONTRIBUTION OF THE STAFF MEMBERS AND OF THE UNIVERSITY OF TORONTO FOR FULL-TIME MEMBERS OF THE ACADEMIC STAFF

		E.G. (Salary of $15,000)
A	*Employee* contributes 2 1/2% of $5,000	$ 125.00
	AND 5% of salary minus $5,000	500.00
		$ 625.00
B	*Employer* contributes 180% of *EMPLOYEE'S* CONTRIBUTION	$1,125.00
C	Under Canada Pension Plan the *EMPLOYEE* and the *EMPLOYER* each contribute 1.8% of the salary to a maximum of $6,600 less $700	
	Thus the *EMPLOYER* contributes 1.8% of the salary to a maximum of $6,600 less $700	$ 106.20
	TOTAL contribution of *EMPLOYER*	$1,231.20

Thus to estimate pension contribution of e.g. OISE to the University of Toronto on behalf of a staff member whose primary appointment is in the University of Toronto ......

(1) The *EMPLOYEE'S* contribution (on the basis of full salary) must be calculated as in A above;

(11) The *EMPLOYER'S* contribution must be calculated as in B above;

(111) The *EMPLOYER'S* contribution to the Canada Pension Plan must be calculated as in C above.

OISE would then pay to the University of Toronto the percentage of (11) Plus (111) represented by the percentage of time which the University of Toronto faculty member is giving to OISE.

NOTE: Where OISE is the primary employer rather than the University of Toronto, the latter institution would pay to OISE the percentage of (11) plus (111) represented by the percentage of time which the OISE faculty member is giving to the University of Toronto.

Form letter for Academic Staff being hired on Cross-Appointments with the University of Toronto where the *Institute is the Prime Employer,* i.e. over half of total salary

Dear ________________________:

(Department chairman's name) has requested your appointment as (rank) in the Department of (name of Department) in The Ontario Institute for Studies in Education. This is a cross-appointment with (department), University of Toronto, whereby (fraction) of your time will be spent with The Ontario Institute for Studies in Education and (fraction) with the University of Toronto. I am pleased to approve this request, and have recommended your appointment to the Director, who will, I understand, submit your proposed appointment to the Board of Governors.

I have recommended that your appointment be effective from July 1, 19 . Salary payments are made in 24 instalments during the year, and will commence in July. The initial annual salary recommended to the Director is (salary) of which the amount of (dollars) plus pension contributions will be reimbursed by the University of Toronto to The Ontario Institute for Studies in Education to cover the University's portion of the cross-appointment.

(INSERT ONE OF THE FOLLOWING PARAGRAPHS)

(A) Moving expenses will be paid by OISE in keeping with the terms of the attached statement of policy.

OR

(B) (fraction) of your moving expenses will be paid by OISE in keeping with the terms of the attached statement of policy.

OR

(C) Our understanding is that moving expenses will be paid by the University of Toronto according to your arrangements with them.

We are very pleased that you are prepared to assist us in the activities of the Institute. The Secretary-Treasurer of the Board of Governors will advise you of the Board's decision on your appointment.

Yours sincerely,

____
Assistant Director

Form letter for Academic Staff being hired on cross-appointments with the University of Toronto where the *University of Toronto is the Prime Employer.* i.e. over half of total salary

Dear ___________________________:

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Dear ______________________ :

(Department chairman's name) has requested your appointment as (rank) in the Department of (name of Department) in The Ontario Institute for Studies in Education. This is a cross-appointment with (Department), University of Toronto, whereby (fraction) of your time will be spent with The Ontario Institute for Studies in Education and (fraction) with the University of Toronto. I am pleased to approve this request, and have recommended your appointment to the Director, who will, I understand, submit your proposed appointment to the Board of Governors.

I have recommended that your appointment be for the session beginning July 1, 19 , and ending June 30, 19 . Salary payments are made in 24 instalments during the year, and will commence in July. The total salary recommended to the Director for the year is (salary) and the amount of (dollars) will be reimbursed by the University of Toronto to The Ontario Institute for Studies in Education to cover the University's portion of the cross-appointment.

(INSERT ONE OF THE FOLLOWING PARAGRAPHS)

(A) Moving expenses will be paid by OISE in keeping with the terms of the attached statement of policy.

OR

(B) (fraction) of your moving expenses will be paid by OISE in keeping with the terms of the attached statement of policy.

OR

(C) Our understanding is that moving expenses will be paid by the University of Toronto according to your arrangements with them.

We are very pleased that you are prepared to assist us in the activities of the Institute. The Secretary-Treasurer of the Board of Governors will advise you of the Board's decision on your appointment.

Yours sincerely,

____
Assistant Director

Form letter for Academic Staff being hired on Sessional Cross-Appointments with the University of Toronto where the *University of Toronto is the Prime Employer,* i.e. over half of total salary

Dear ________________________:

(Department chairman's name) has requested your appointment as (rank) in the Department of (name of Department) in The Ontario Institute for Studies in Education. This is a cross-appointment with (Department), University of Toronto, whereby (fraction) of your time will be spent with the University of Toronto and (fraction) with The Ontario Institute for Studies in Education. I am pleased to approve this request, and have recommended your appointment to the Director, who will, I understand, submit your proposed appointment to the Board of Governors.

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(A) Moving expenses will be paid by OISE in keeping with the terms of the attached statement of policy.

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We are very pleased that you are prepared to assist us in the activities of the Institute. The Secretary-Treasurer of the Board of Governors will advise you of the Board's decision on your appointment.

Yours sincerely,

____
Assistant Director

RETRAINING/TRANSFERS

CARLETON

OTTAWA

WESTERN

WINDSOR

YORK

RYERSON

OISE

Schemes for Faculty Retraining
(J. Scarfe)

"Lay-offs": A Case Study of Ryerson
Polytechnical Institute
(L. Lewis)

CARLTON UNIVERSITY

Collective Agreement

38.1 Faculty and Instructor Transfers

The employer may transfer an employee from one subunit to another subunit, provided that the employer submits reasons for the transfer in writing to the employee and providing the employee agrees to such transfer.

(a) Transfers are possible between all subunits of the University, including departments, schools, institutes, or any other groups which may involve employees covered by this Agreement.

(b) In the case of a proposed transfer involving departments, schools or institutes, the employer shall consult with the unit or subunits concerned before effecting the transfer.

(c) The candidate shall be academically qualified for the position and the program shall already have been established by the Senate.

38.2 Librarian Transfers

(a) Where the assignment of duties in the Library requires a lateral transfer within the ranks designated in 9.5 (b), such a transfer shall be implemented with reasonable notice and prior consultation with the professional librarian employee involved, in the course of which the reasons for the transfer shall be given in writing.

(i) All such cases of transfer shall acknowledge the specialties and qualifications of the professional librarian employee involved.

(ii) If the professional librarian employee involved disagrees with the transfer action taken, he/she shall have recourse to the Grievance Procedure as outlined in Article 30 of this Agreement.

(iii) A grievance entered in relation to a transfer action as described in this section may be initiated whenever notice of transfer is received, and in such cases the transfer will not take place until after the grievance has been resolved.

(iv) The Association shall be notified of a pending transfer at the same time as the employee concerned.

(b) Lateral transfers shall only take place between positions associated with the same rank as listed in 9.5 (b) and no other transfer of professional librarian employees shall take place within the Library without the agreement of the parties.

Article 381-6

Collective agreement between Carlton University and Carlton University Academic Staff Association.

38.3 An employee may initiate a proposed transfer by written application to the appropriate dean; or in the case of transfer to or within the Library, by written application to the University Librarian.

(a) Any subunit (exclusive of the Library) with an available position must give notice of it to members of the bargaining unit by an appropriate means and,

(b) must give preference to an applicant from the bargaining unit wishing to transfer if his/her qualifications are demonstrably equal to those of applicants from outside the bargaining unit.

(c) An employee may justifiably use his/her sabbatical leave, or any other form of leave, in study or any other preparation appropriate to achieving the qualifications prerequisite to any potential transfer, including employment in the subunit to which he/she would transfer.

(d) If the employee seeking a transfer is subject to lay-off as a result of the implementation of the provisions of Article 17 (Financial Stringency), the consideration of his or her qualifications for the new position will take into account any improvement in those qualifications which have accrued from retraining, or would be reasonable to expect to accrue from the retraining provided for in Article 38.6 below.

38.4 The employer recognizes that in no way does transfer constitute a criticism of any sort or degree of the transferred member's prior performance of his/her academic duties.

38.5 Any employee transferred to another position (unless the position requires exclusion from the bargaining unit) within the Library, in accordance with the provisions of 38.2 or between subunits outside the Library, at either the employer's or the employee's initiative, shall retain his/her rank, salary level, and all other terms and conditions of employment, and without limiting the generality of the foregoing:

(a) eligibility for sabbatical shall not be prejudiced or delayed in any way by transfer;

(b) any consideration of a transferred employee for subsequent promotion, tenure or any increment shall give full credit for his or her service prior to transfer;

(c) where scholarship and research are relevant as judged by the appropriate peer evaluation committee, to the subsequent promotion of a transferred employee, the employer shall also give full credit for his/her scholarly achievement prior to transfer as well as subsequent to transfer.

38.6 Subsequent to a declaration of financial stringency in accordance with the provisions of Article 17, the employer shall offer the opportunity of retraining, under the provisions of Article 20.3 to any employee whose retraining and subsequent transfer would lessen the necessity of lay-off for that employee or other employees.

(a) The pay and benefits of any employee receiving retraining under the provisions of this Article shall be subject to acceptance by the employee.

(b) Such retraining leave shall normally be supposed to last one (1) full academic year, though other arrangements may be made with the consent of the employee concerned.

(c) Any employee retrained under the provisions of Article 38.6 shall be given preference for vacancies as provided for in Article 38.3 (b) and where the provisions of Article 17.8 (c), (d), (e) and (f) apply.

C. LIMITATIONS ON SECURITY OF EMPLOYMENT

17. Subject to 28, 29 and 30 on disciplinary measures, a tenured professor may be dismissed only on one or more of the following grounds:

    a) the termination of a grant from an outside agency to reimburse the University for 50% or more of his salary, if the professor concerned has been engaged after the effective date of this collective agreement;

    b) the elimination of his position for purely financial reasons, in which case the arrangements provided for in 18 and 20 to 25 below must apply;

    c) the elimination or the re-assignment of his position as a result of a substantial reform in the programme of studies to which this position is attached; in which case the arrangements provided for in 19 to 25 below must apply.

18. A tenured professor may not be dismissed for purely financial reasons unless the Board of Governors:

    a) has decided formally that a particular academic unit is suffering from redundancy and that the number of full-time teaching positions in that unit must be reduced. In that case, this decision will be made after consultation with the Senate Committee for Budget Review and the Association. The Association will be given a time limit of one (1) month to forward its recommendation to the Board of Governors, if it decides so to do;

    b) or has decided formally to declare that a financial emergency exists for the entire University, which would imply:

1o that the Board of Governors previously has advised the Association of its intention to make such a declaration and has given the Association an opportunity to offer its advice in this regard, placing at the disposal of the Association the information that convinced the Board of the need for such a declaration;

2o that immediately after having declared formally the existence of a financial emergency, the Board of Governors has established an ad hoc committee to recommend appropriate measures to be taken in order to resolve the financial problems facing the University, including, without otherwise limiting, the following subjects:

  i) the financial measures other than, or in addition to, reduction in the full-time academic salary budget, which might be resorted to in order to prevent or minimize such salary budget reductions;

  ii) whether the utilization of other means such as early retirements, voluntary early retirements, leaves and transfers can postpone or alleviate the need to discontinue appointments;

  iii) the size of the required reduction, if any, in the full-time academic salary budget;

  iv) a set of priorities meeting the exigency and a proposition about how any required reductions in the full-time academic salary budget could be accommodated within such priorities;

  v) the advisability and the impact of a decrease in some academic programmes on budget cuts;

3o that after having designated the Chairman of this Committee, as well as one other member, the Board of Governors has requested:

  i) the Senate to appoint two (2) members, one of whom shall be chosen from its Budget Review Committee;

  ii) the Association to designate two (2) other members;

4o that the Board of Governors imposes a freeze on the employment of any new professor and takes no action implying an actual reduction in the number of full-time teaching positions before the ad hoc committee referred to in the preceding paragraph has submitted a report or before time limit of two (2) months following the formal declaration of financial emergency;

5o that the Board of Governors commits itself, in regard to a tenured professor who will have been dismissed as a result of a declaration of financial emergency;

  i) to grant him preference for employment over any other candidate if within a period of three (3) years, a full-time position suitable to his particular professional qualifications becomes available in the university;

  ii) to give a recalled employee three (3) months to decide whether he wishes to accept recall; and if the offer is accepted, such applicant has a reasonable period of time, not to exceed an additional twelve (12) months, to complete existing employment obligations;

iii) and, in the case where he would be re-engaged on a full-time basis, to grant him tenure and to recognize for purposes of admissibility for sabbatical leaves, the number of years from the time of his appointment that he had accumulated at the time of the declaration of financial emergency.

19. A tenured professor may be dismissed if the Senate decides, after an evaluation of the quality and relevance of a teaching and/or of research unit, to proceed with a substantial reform of the content and/or the orientation of these activities, or to abandon them wholly or partly, and that this decision implies that the position of one or more tenured professors must be eliminated or re-assigned to an area requiring another type of professional qualification. In such a case, the Association will be advised by the Board of Governors, for purposes of information, concerning the consequences of the Senate decision, at least one (1) month before the Board of Governors confirms the elimination of the re-assignment of the positions.

20. When, in accordance with the provisions of 18 or 19 above, the position of one or more tenured professors must be eliminated or re-assigned for another purpose, the Teaching Personnel Committee of the Faculty (or School) concerned must:

a) decide which tenured professor(s) will be directly concerned by such a decision;

b) consider whether — taking into consideration the particular teaching and/or research qualifications of the tenured professor(s) concerned, the qualifications of the non-tenured professors in the same teaching and/or research unit, as well as the scholarly projects of the teaching and/or research units in the same Faculty (or School) — it would not be preferable to give preference to the employment of the tenured professor(s) concerned and, rather than dismiss them, to re-assign them:

1o either to another professorial position presently held by a non-tenured professor whose employment contract is ending in the same teaching and/or research unit;

2o or to another professorial position presently held by a non-tenured professor whose employment contract is ending in another teaching and/or research unit in the same Faculty (or School);

c) submit to the Joint Committee of the Board and Senate its recommendations concerning the professor(s) who:

1o must be dismissed;

2o could be re-assigned to another teaching and/or research position.

21. A tenured professor affected by the application of paragraph 20 will be informed in writing by his Dean of the decision of the Joint Committee of the Board and Senate before December 31st of the academic year in which it will become effective:

a) If the tenured professor is then dismissed, he will have the right to a termination pay equivalent to the salary for the twelve (12) month period following the end of the academic year which he is dismissed;

b) If the tenured professor is offered a re-assignment to another position, he will be granted a time limit of two (2) months to advise his Dean, in writing, whether he accepts the re-assignment or decides of his own volition to terminate his employment at the University. In the latter case, he will have the right to a termination pay equivalent to that provided for under a) above.

22. In the course of the academic year at the end of which a professor who will have completed five (5) years pursuant to 20 and 21 above will have been re-assigned to another position, the Teaching Personnel Committee of his Faculty (or School):

a) will evaluate whether the professor has been able to adapt his professional qualifications to meet the demands of his new position and if, as a result, he continues to fulfil the requirements of paragraph 10 of article 33 relative to the granting of tenure;

b) will undertake, in this regard, whatever consultations it might consider to be appropriate among the peers of the professor chosen from outside the University;

c) will submit to the Joint Committee of the Board and Senate, before November 15th, a recomm[illegible]on:

1o either in a favour of [illegible]wal of tenure;

2o or in favour of the repeal of tenure and the dismissal of the professor, as of the following June 30th.

23. The professor affected by paragraph 22 will be informed in writing by his Dean, prior to December 31st, concerning the decision made by the Joint Committee of the Board and Senate.

24. A professor who is dismissed pursuant to 22 and 23 above has no right to termination pay.

25. The Joint Committee of the Board and Senate cannot order the dismissal of a professor who will be fifty-five (55) years of age on the 30th of June following the evaluation made pursuant to the provision of 20 or 22 above. It may order, however, that the salary of the professor be frozen if it is established on the basis of an evaluation of his file as required by either 20 or 22 that he would not meet satisfactorily the requirements of paragraph 10 of article 33.

OTTAWA

Policy

TRANSFERS WITHIN THE UNIVERSITY

Any member who seeks to transfer to a vacancy in another academic unit within the university shall be given first consideration for such a vacancy.

Where a group of the highest-rated applicants for a vacancy are essentially equally qualified, and if one or more of the group are already members of the bargaining unit, the position shall be offered to one of the member(s).

RECOMMENDATIONS ON
ALTERNATIVE CAREER OPPORTUNITIES, RETENTION & DEVELOPMENT OF FACULTY
(ACORD)

prepared by

The Office of the President

and

The University of Western Ontario Faculty Association

18 March 1980

Introduction

Following the publication of the Report of the Presidential Committee on Faculty Development (Pepper Commission), and the review of the report by the Joint Committee of the Administration and the Faculty Association, the Administration and the Faculty Association have agreed to propose jointly to Senate the adoption of the recommendations specified below.

Recommendations

1. Reduced Responsibility Policy

That in order to enable full-time tenured faculty members to alter their existing full-time arrangement with the University, a Reduced Responsibility Policy, as outlined in Appendix A, be adopted.

2. Professor Emeritus Title

That faculty members taking early retirement under the new Early Retirement Compensation Plan be eligible for the privileges awarded to the status of Professor Emeritus on the recommendation of the faculty concerned. That the current procedure for the awarding of the title of Professor Emeritus be applicable to the above faculty members. The policy relating to the privileges and title of Professor Emeritus for persons who retire under the new Early Retirement Compensation Plan will be reviewed in three years.

3. Full-Time Administrative & Counselling Staff Positions

That a faculty member electing to accept a full-time administrative or counselling staff position within the University be permitted a period of up to two years during which he/she would retain his/her tenure. Both faculty and tenure status would, however, be given up at the end of the negotiated transitional period. During this period, the faculty member could indicate in writing to the Vice-President (Academic) on three months' notice that he/she wished to return to the former academic rank and position in the next academic year.

4. Educational Leave - Alternative Training

That in order to provide the opportunity for certain faculty members to build new academic careers based on their experience but qualifying them to function in another academic area or discipline, an educational Leave for Alternative Training Policy, as outlined in Appendix B, be adopted. (1)

---

(1) The amended terms of reference of the ADF provide for the funding--where necessary--of replacements for faculty members on leave for alternative training. It is noted that a large number of such requests would exert an undue drain on the ADF, and it is suggested that the number of funded leaves for alternative training be subject to a ceiling to be defined by consultation between the Chairman of the Senate Leave Committee, SUPAD, and the Vice-President (Academic).

5. Sabbatical Leave Remuneration

That the upper limit for total remuneration from salary and external sources be raised to 125% of salary plus travel expenses where justified.

In exception circumstances, a higher figure might be recommended by the Senate Leave Committee and will be subject to the approval of the Vice-President (Academic).

6. Sabbatical Leaves After Three Years

That a six-month sabbatical at 75% salary after three years of service be made available but only a) in exceptional circumstances, b) at the discretion of the Dean and the Vice-President (Academic), and c) for tenured members of the faculty.

7. Exchange Leaves - Policy

That an Exchange Leave Policy, as outlined in Appendix C, be adopted, it being understood that the role of the central administration will be limited to a) negotiation with other institutions, b) annual publication of opportunities if available, and c) facilitating approved exchanges within approved policies or relevant University practices.

8. Exchange Leaves - Funding

That funds for the relocation expenses of faculty members participating in exchange leaves be provided according to existing policy and that a specific budget line be established with its level subject to the salary/benefits negotiation process. The guidelines for the relocation expenses would be contained in the Moving Allowances Policy.

9. Sabbatical Credit

That periods of Educational Leave for Alternative Training and Exchange Leaves be counted toward sabbatical entitlement with the understanding that a faculty member will not normally be permitted to be absent for more then two years in any seven-year period.

10. Leaves - General

That with respect to all types of paid leave, normally a minimum period of two years should elapse between any two successive leave periods but that this period could be modified in individual cases at the discretion of the Senate Leave Committee and subject to the approval of the Vice-President (Academic).

11. Teaching

That the Provost's Advisory Committee on Teaching and Learning:

a) devise some means of recognizing excellence in teaching, possibly in the form of annual teaching awards, and that this recognition be given due weight in promotion and tenure decisions.

b) continue to mount orientation programs for new instructors and graduate teaching assistants and that it also offer special programs for teachers of first-year courses.

c) offer a program of consultation to faculty and teaching assistants since PACTL considers individual consultation to be the best method of improving teaching. Where necessary, release time should be given members of the faculty deeply involved as consultants in such programs.

d) initiate a review of the methods presently in operation for evaluating teaching at Western with a view toward making suggestions for improvement.

12. Alternative Work Loads

That the possibility of individualized work loads for tenured faculty members be accepted as outlined in Appendix D on the understanding that a) only one of teaching, research, administrative/community service may be excluded, and b) some reasonable departmental balance between teaching and research be maintained.

13. Leave of Absence Without Salary

That a revised policy statement on leaves of absence without salary, as outlined in Appendix E, be adopted.

14. The University of Western Ontario Act

Notwithstanding the terms of policies that may be adopted as a result of these recommendations, the Board of Governors will retain the responsibilities assigned to it under The University of Western Ontario Act, Section 21 and may, from time to time, approve special arrangements for individual faculty members.

15. Review

That the Senate review this report and the programs recommended in 1987.

Concluding Notes

This report includes only those major suggestions of the Pepper Commission which both the Administration and the Faculty Association agreed to recommend to Senate. A letter of agreement, as outlined in Appendix F, specifying options and administrative procedures for other items in the Pepper Commission Report is attached for information. A brief overview of the complete recommendations of the Pepper Commission and the responses of the Administration and the Faculty Association is given in Appendix G.

APPENDIX B

Educational Leave for Alternative Training

Policy Statement: An Educational Leave for Alternative Training may occur when a tenured faculty member is assuming new responsibilities and functions within the University.

Eligibility: All current regular full-time academic staff are eligible to apply.

General Principles:

1. Leave will not exceed one year.

2. Full salary and benefits will continue during the approved leave.

3. Responsibility for relocation and tuition costs lies with the participant. Certain "tax relief" arrangements may be available through the Payroll Office.

4. Sabbatical leave credit will be earned during this leave subject to the overriding proviso that a faculty member will not be permitted to be absent for more than two years in any seven-year period.

5. Since a faculty member moving into a new field may excel primarily in only one of teaching or research, consideration should be given with regard to appropriate performance expectations in each field. A document outlining the evaluation arrangements in each case should be prepared and acknowledged by the faculty member and the dean.

Procedure:

1. Individual faculty members may make application through the chairman (where such exists) to the dean.

2. Such requests should document the objectives of the leave and their relationship to the new responsibilities.

3. Should the dean (and chairman) agree to the request, the request will be forwarded to the Vice-President (Academic).

4. Subject to delegation and authority by the Board of Governors, the final decision will be made by the President, acting upon the advice of the Vice-President (Academic).

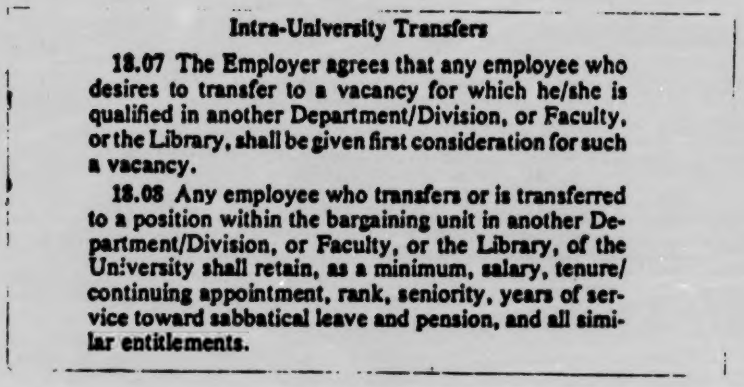
5. The decision of the President is final and is not subject to grievance under the Conditions of Appointment.

ARTICLE 14 RETRAINING, REDEPLOYMENT AND TRANSFERS

14.01 The parties recognize that enrolment patterns, and changes in and priorities among programs and/or courses, influence the use and allocation of the human and financial resources of the University. Consequently, the University has a responsibility to provide for the redeployment and/or transfer of members to ensure the continuance of the academic quality of the programs and to forestall the possibility of reduction in the University's budget for salaries and benefits of members for reasons of financial exigency.

14.02 The question of the redeployment and/or transfer of members shall be referred to a Committee comprised of six members, three of whom shall be appointed by the Association Council and three by the Board of Governors. The Committee shall be charged with the responsibility of reporting to the parties with recommendations on procedures and criteria. The Committee shall submit an interim report no later than February 1, 1978 and a final report no later than June 30, 1978.

14.03 The Committee established under clause 14.02 shall explore and make recommendations for the establishment of policy(ies) on retraining of members.



Intra-University Transfers

18.07 The Employer agrees that any employee who desires to transfer to a vacancy for which he/she is qualified in another Department/Division, or Faculty, or the Library, shall be given first consideration for such a vacancy.

18.08 Any employee who transfers or is transferred to a position within the bargaining unit in another Department/Division, or Faculty, or the Library, of the University shall retain, as a minimum, salary, tenure/continuing appointment, rank, seniority, years of service toward sabbatical leave and pension, and all similar entitlements.

RYERSON

Agreement

III

F. FACULTY REDUCTIONS

1. The first duty of the Institute is to ensure that its academic priorities remain paramount, particularly in regard to the quality of learning. When faced with financial constraints, the Institute must ensure the primacy of its educational functions. It is recognized that any personnel reductions in the Institute would be a measure of last resort in solving budget difficulties.

2. Should Faculty reduction be necessary for any reason, every effort will be made to assign regular Faculty members to other teaching duties in the Institute. In such instances, seniority and ability shall be the sole criteria. Furthermore, consideration will be given to retraining of Faculty members to adapt them to an available position within the Institute.

3. The Institute will utilise where possible normal retirements, voluntary early retirements, voluntary reduced workloads, and leaves of absence to ameliorate the effects of redundancy.

4. Situations and degree of faculty redundancy shall be identified by the Vice-President in consultation with the Deans. The Dean of a division, in which a redundancy has been identified, shall notify all faculty within his division of that situation. A Redundancy Identification and Amelioration Committee (R.I.A.C.) shall be struck immediately, consisting of the Dean of the division, the Chairman of the department affected, and the President of the Association. The R.I.A.C. will seek to establish employment opportunities to offset the effect of departmental redundancy following the principles that faculty members should be allocated the teaching loads that are taught, or are planned to be taught, by other than regular or probationary faculty members, and that faculty members should be considered for available non-teaching positions in the Institute. The following sequence of priorities shall be followed:

(a) seeking teaching opportunities elsewhere within the department (day and/or evening),

(b) seeking teaching opportunities elsewhere within the division (day and/or evening),

(c) seeking teaching opportunities elsewhere within the Institute (day and/or evening),

(d) seeking non-teaching employment opportunities within the Institute, consistent with regular Institute hiring procedure.

5.

(a) If the R.I.A.C. is successful in finding a potential teaching opportunity outside the affected department, the DAC of the department with the redundancy situation will meet with the DAC of the department in need of expertise and the President of the Association.

(b) i) If the DACs and the President of the Association agree that the available expertise is adequate for the available teaching load(s) they will recommend, to the Deans involved, willing and acceptable personnel of the department with the identified redundancy, to teach the available load(s).

ii) If the available expertise is not considered completely adequate for any potential teaching opportunity, the R.I.A.C. will recommend to the Vice-President that a particular person or persons in the affected department undertake retraining during a specified time in a needed area of expertise, at the earliest opportunity. In this case the Institute will make every reasonable effort to facilitate this limited retraining.

(c) A faculty member who is assigned courses in another department to avoid redundancy will remain a member of his original department, unless permanent transfer is arranged by written mutual agreement of the receiving department and the individual faculty member. In the latter circumstance, should the receiving department at some future date be faced with a redundancy situation of its own, the aforementioned faculty member's seniority within the receiving department shall be interpreted as commencing from the date on which the permanent transfer became effective. Should the result be an identification of the faculty member as redundant within his new department, that is the receiving department, then he will be transferred back to his original department with a seniority equal to his original seniority plus the additional amount developed while within the receiving department.

6. In the event that the aforementioned efforts do not resolve the redundancy situation, and where the curricular teaching requirements have been provided for, and where a department or an area of specialization is faced with a lay-off situation:

(a) The Chairman and the Dean will determine on the basis solely of seniority and ability which faculty members are to be laid off. For this determination seniority and ability shall weigh equally.

(b) The faculty members who may be considered for lay-off shall be those with lesser seniority in the department and the total number under consideration shall not exceed twice the number of redundant positions.

(c) If a faculty member who has expertise in an area of specialization taught by the department where no other faculty member is capable of teaching such an area of specialization, and no other faculty member can be trained within a reasonable time for teaching that discipline, then such a faculty member may not be considered for lay-off. A written rationale for such a situation shall be reported to the Redundancy Review Board (RRB) —see 6(d).

(d) As soon as a proposed redundancy list is completed it will be reviewed by the RRB consisting of three regular faculty members, none of whom are members of the R.I.A.C. The RRB shall consist of an appointee of the Vice-President and an appointee of the RFA Executive, who in turn will name a mutually acceptable third appointee to chair the RRB. Furthermore, one of the three aforementioned appointees shall usually be a member of the department involved. The RRB will follow an established procedure in evaluating the recommendations of the Chairman and Dean. On completion of the review, the RRB will issue a confidential report to the Chairman and Dean. The RRB will also provide a copy of the report to the President, Vice-President, and the Association President.

(e) After due consideration of the R.R.B. report, the Dean will notify, as soon as possible and in no case later than six months before the date of lay-off the affected faculty member(s) of his/their lay off status and the options open to such Faculty member(s). The lay-off date shall be August 31 in all cases.

7. From the date of notice to the date of lay-off the Faculty member shall retain his status as a regular Faculty member unless he voluntarily arranges an employment separation. On the separation date:

(a) he will receive a separation allowance equal to one-half month's salary per year of service to a maximum of six month's salary.

(b) he will waive all rights of participation in the Faculty Re-employment Program, and

(c) he will retain his right of recall (Article III F 9 and 10) and his right of Appeal (Article VII).

8. If the Faculty member has not exercised his right of voluntary separation (7 above) by the lay-off date, or in the case of an appeal extending beyond the lay-off date, within seven days of the confirmation of the lay-off, then on the appropriate date he shall either:

(a) accept employment separation in accordance with paragraph 7, or

(b) enter the Faculty Re-Employment Program (Appendix E).

9. Within three years of being laid-off the Faculty member shall be offered by registered mail the first available faculty appointment in his previous department in a field in which his expertise can be used. Where more than one faculty member has been laid-off from the department, offers shall be made to faculty in inverse order of their lay-offs. A reasonable period shall be provided for taking up the offer in order to enable the faculty member to fulfill his current employment obligations. An offer made to a faculty member under this paragraph, but refused by him without compelling grounds, extinguishes all rights under the provisions of this paragraph.

10. During the three years following the date of lay-off, the Faculty member shall be notified by registered mail, of all teaching positions which become available in departments other than his former department, and which have not been filled by Faculty entitled to these positions under paragraph 9. The Faculty member, should he apply for such a position within 21 days of mailing date, shall be interviewed by the appropriate DAC for the available position. This shall take place before any general advertisement of the position(s) is/are undertaken.

11. Within three years of the date of lay-off a Faculty member may apply to the Director of Personnel to be notified of any non-teaching vacancy for which he is qualified,or could become qualified within twelve months on the job. Should he apply for such a position he will be subject to the usual hiring practices of the Institute,and he will be considered along with internal candidates for the position,having due regard for the promotion expectations of others within the department,but before outside advertisement is undertaken. Should he be accepted in the position his salary would be within the position's salary range at a level normal for position incumbents having Ryerson service equal to that of the redundant Faculty member.

Appendix E

FACULTY RE-EMPLOYMENT PROGRAM

1. It is agreed that the Institute will establish and fund a faculty re-employment program for redundant faculty.

2. A redundant faculty member, who agrees to join the re-employment program, will be transferred from his normal department to this program on the lay-off date, or, in the case of an appeal extending beyond the lay-off date, within seven days after a decision to uphold lay-off is rendered. In so doing, the faculty member will retain his regular faculty status with the Institute.

3. The time period for program participation eligibility would be not less than one month and not more than thirty-six months. While participating in the program, the faculty member will be:

   (a) entitled to a monthly salary equal to his monthly salary on the lay-off date, multipled by the lesser of years of service as a Faculty member or twelve, divided by the number of months of participation in the program. Notwithstanding the aforementioned, the monthly salary while in the program shall not exceed the individual's monthly salary at the date of lay-off.

   (b) entitled to receive benefit coverage as a regular Faculty member except that salary-related benefits shall be based on the salary as determined in (a) above.

   (c) eligible for preferential consideration over external candidates and consistent with regular Institute hiring procedure for transfer to any open regular position in the Institute for which the individual may be qualified or could become qualified within twelve months in the position. However, should there be conflict with the provisions of Article III F, 9, 10, 11 those provisions shall prevail. Salary for such a position transfer would be within the position's salary range but at a level normal for position incumbents having Ryerson service equal to that of the transferring individual.

   (d) expected to participate actively in seeking external re-employment through and with the assistance of available counselling and employment services both within the Institute and external to the Institute. Active participation may include formal education for a changed occupation; such formal education at the Institute would be tuition-free.

   (e) expected to carry out occasional work assignments for which the individual is competent.

   (f) entitled to his right of recall (Article III F, 9 and 10) and his right of Appeal (Article VII).

14.50 **Redundancy**

14.51 In the event that any faculty member or any faculty position shall be deemed to be redundant, every reasonable effort shall be made to avoid lay-off through reorganization or transfer of any member concerned to another academic unit in the Institute.

14.52 In order to provide sufficient adjustment time for involved parties, a state of redundancy must be declared by the Director and notification sent in writing to affected individual(s), to unit(s) and to the Faculty Association, ninety (90) days in advance of the time any relocation or dismissal due to redundancy is to take effect.

14.53 At the time that a state of redundancy is declared by the Director, as specified in 14.52 of this article, the Director shall prepare a list of all specific faculty who may be declared redundant in accordance with Article 16 on Job Classification and shall forward copies in writing to affected person(s), to unit(s), and to the Faculty Association.

14.54 Each faculty member whose job is involved shall be given a reasonable opportunity to acquire appropriate skills as outlined in clause 14.32 in the Article on Reorganization.

14.55 Prior to a member of the faculty having been declared redundant, every reasonable effort shall have been made to absorb the faculty member into another function or location in the Institute. All faculty members' rights will be retained in the manner as specified by clause 14.31 and clause 14.42 above.

14.61 In the event all of the above alternatives have failed and it is clear no reasonable alternative to the lay-off of a specific member of ~~or~~ faculty exists, while having due regard to Article 16 on Job Classification, the procedure for Lay-Off and Recall, as noted in Article 15, shall be employed.

OISE

FACULTY TRANSFER PROCEDURES

When it has been determined by the Director (following appropriate consultation) that a unit must effect reductions in its actual faculty complement to correct an imbalance within units between actual and approved complement, the Assistant Director (Academic) will request the Unit Head's recommendation as to how the necessary reduction can be achieved. The Unit Head must submit a recommendation within two months of the date of the request.

In responding to the Assistant Director's request, the Unit Head will initially explore all possible ways of achieving the necessary reduction without having to recommend the termination of a faculty member. Among such possibilities are the following:

1. Natural attrition resulting from retirement, resignation, etc.
2. Voluntary early retirement.
3. Leave of absence without pay (although it must be recognized that this may simply postpone the need to recommend termination).
4. Transfer to another unit.
5. Partial transfer by cross-appointment to another unit (this may include a request for a faculty member to teach one or more courses in another unit).

In cases where the transfer option is chosen, certain conditions must be understood -- including the following:

1. Relevant clauses of the Faculty Agreement which is in effect at that time will apply.

Faculty Transfer Procedures (cont'd.)

2. It is desirable that, wherever possible, transfers be effected with the agreement of both the "giving" and "receiving" departments as well as of the individuals concerned. However, should such agreement not be achieved, and should the Director, on the advice of the Assistant Director (Academic) judge that a transfer would be in the best interests of the Institute and will not be unduly detrimental to the career of the individual, then a transfer may be effected by motion of the Board of Governors. The "best interests" of the Institute include: the achievement of the Institute's goals and priorities, the most efficient utilization of available staff and the effective support of approved unit programs.

In the event that the recommendations made by the unit head do not lead to a resolution of the problem, then the Assistant Director (Academic), on the advice of the Director, taking into account paragraphs 1 and 2 above, will seek a resolution of the problem by direct consultation with the parties concerned. The following conditions apply to all faculty transfers effected by this policy:

a) Individual faculty have the right of verbal or written appeal to the Director before a recommendation is made to the Board of Governors.

b) Individual faculty have right of written appeal to the Board of Governors before a motion on transfer is passed. The Executive of the Board of Governors may request a meeting with the individual.

c) Faculty members retain all rights and privileges pertaining to study leave, academic rank, approved projects in progress, and vacation which they had in their previous units before being transferred.

d) No faculty member of a unit to which a faculty member is transferred by this policy shall have his/her contract discontinued or cancelled as a result of such transfer unless all provisions of this policy have been complied with fully. In the event that the receiving unit itself becomes subject to the necessary reductions, the Assistant Director (Academic) shall ensure that every consideration is given to the implementation of further transfers so that any faculty member shall not be deprived of the opportunities of this transfer policy.

Faculty Transfer Procedures (cont'd.)

e) While every effort will be made to carry out transfers that make the best use of already developed skills, the Institute will facilitate the retraining of transferred faculty where appropriate.

f) In order to achieve the greater security for the majority of faculty that a transfer policy implies, and in keeping with the spirit of the Faculty Agreement, all units will have to accept a greater degree of internal flexibility so as to meet changing conditions. Given the delicate nature of internal transfers, full investigative searches for Faculty that are appropriate in reviewing external candidates may not be appropriate in some circumstances. Units, therefore, should devise internal procedures they consider are appropriate to the task.

To ensure that these conditions pertaining to transfers are understood, agreed to, and met, the Assistant Director (Academic) (in consultation with the parties involved) will prepare a Memorandum of Agreement setting forth the specific understandings relevant to these conditions for each transfer that is effected, and all parties to the transfer will sign this memorandum; it will be the Assistand Director (Academic)'s responsibility to see that the terms of the Memorandum are adhered to.

SCHEMES FOR FACULTY RETRAINING

Janet Scarfe

Higher Education Group
The Ontario Institute for Studies in Education

> Our profession is glorious: surrounded by stimulating colleagues, we get paid to read, write, talk, think and argue. While we naturally want to perpetuate the good life of research and teaching, we simply can no longer replicate ourselves as we have done in the past.[1]

> . . . there is a mood of despondency because academic staffs cannot increase; new appointments cannot easily be made without corresponding deaths and retirements. There is, with good reason, apprehension among younger staff members because their chances of promotion and even retention have been damaged. With no expansion, and with so many appointed professors and others on permanent tenure at fairly young ages, the prospects of those still younger and not on permanent tenure are darkened. All this is not only directly injurious to the universities as institutions of science and scholarship. It breeds scepticism about the value of the academic career and of the pursuit and transmission of knowledge.[2]

In the mid 1960s, university authorities in Canada were scrambling to recruit enough scholars to staff their rapidly expanding institutions. A decade later, the situation had changed dramatically, the mood of euphoria having been replaced by one of despondency akin to that which Edward Shils described as afflicting American institutions. During the 1970s, the constellation of serious problems affecting higher education moved closer, each passing year revealing more of its complexity. Declining enrolments, financial cutbacks, public criticism, a middle-aged professoriate, very limited recruitment and retirement, the possibility of staff cuts for budgetary reasons: these problems have become part of the universities' catalogues of woes.

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[1] J. Conarroe, "Comments from the Editor," Modern Language Association Newsletter 11 (Summer 1979): 4.

[2] E. Shils, "An Unresolved Dilemma," Minerva XII (July 1974): 298.

There is little need to reiterate why schemes for early retirement, shared and reduced workloads, faculty retraining and short-term appointments have attracted attention among university officials in the United States and, more recently, in Canada. Most of the difficulties that the universities confront have repercussions for their teaching staffs - for professorial salaries, teaching and, at times, their very positions. In turn, the composition of the teaching staff is one of the universities' major problems. The professoriate in Canada has been described as "aging." A more accurate term is "middle-aged," for its age profile has a large hump between 35 and 55 years of age. Approximately 90% of its members are fifteen to twenty years away from the normal retirement age of 65. Few professors die, retire or resign and hence, in the current "steady state" or retrenchment situations, few permanent appointments are made. This prevents the normal process of rejuvenation through the hiring of bright young scholars and new Ph.D. holders from taking place. The recent OCUA paper, "System on the Brink," gives the average age of Ontario faculty in 1979 as 43, and points out that in the normal course of events only 12% will reach retirement age in the next decade.[1]

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[1] Ontario Council on University Affairs, "System on the Brink: A Financial Analysis of the Ontario University System in 1979," September 1979, p. 13. Max von Zur-Muehlen of Statisitics Canada has written numerous papers on the age distribution of the Canadian professoriate.

See for example, "The Canadian Universities in a Crisis," paper prepared for the Workshop on Optimization of Age Distribution in University Research (Ottawa: Science Council of Canada, 1977).

The seriousness of the problem is not at issue; remedies are. Early retirement is frequently mentioned as a solution, but there are many problems associated with it. Economical schemes are elusive, thinning out the post-55 or post-60 age group would further distort the age profile and, not least, there is insufficient evidence that these groups are *not* valuable members of the academic community.

A solution suggest for the vast majority of academics, those under 55, is *retraining for mid-career change. A faculty retraining programme consists of deliberate assistance by the university for a member of its teaching staff who wishes to relocate in another specialization, another department or even in another university in the same system to which it belongs.*

Mid-career change is not an unknown or unusual phenomenon among university professors. First, some professors leave the university for a post in government, industry, business or a research agency, or to practice their profession. The importance of this form of outward mobility will be examined below. Secondly, some professors become university administrators, and in doing so make considerable changes in their daily work, in their responsibilities and their immediate colleagues.[2] This kind of more or less permanent redirection of interests is an accepted part of university administration; there are no "retraining" programmes for deans and presidents. A third form of mid-career change, and the major focus of existing retraining schemes, occurs when a professor's teaching and research interests change over a period of years, altering or developing to such an extent that he may seek not simply

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[1] For a discussion of this as a "career change," see S.B. Sarason, *Work, Aging and Social Change: Professionals and the One-Life-One-Career Imperative* (New York: The Free Press, 1977), pp. 246-47.

a cross-appointment, but a formal appointment in another department. Faculty retraining is an attempt to capitalise on this internal mobility, to use and direct it so as to introduce some flexibility in the professoriate. It is intended to be a means of channelling resources from overstaffed to understaffed areas in the university, thus encouraging some movement and minimising the threat of staff dismisals as enrolments drop and budget cuts continue. Although the necessary coincidence between interest in new areas and the availability of positions is unlikely to ever be a very great, retraining programmes have been introduced in several American universities and have met with some success. The Canadian Association of University Teachers and a number of Ontario universities have retraining policies; as yet none have been implemented.[1]

1. *Internal, In-House or In-System Retraining*

Deliberate programmes to assist a faculty member prepare for a teaching position in a different specialization in his established discipline or in a cognate area have been introduced in four American university systems: the State University of Florida (1974-77), the State University of New York (1977-), the State University College of Pennsylvania (1976-) and the University of Wisconsin (1973-).

The four programmes have been described in an article by Charles Neff, Project Director of the SUNY Project on Faculty Retraining, which outlines the mechanics of the schemes and provides both basic and comparative information on numbers, selection, financing, costs, length and location of programmes, and the potential for further developments.[2]

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[1] Canadian Association of University Teachers, "Guidelines Concerning Reductions in Academic Appointments for Budgetary Reasons," CAUT Bulletin 25 (September 1978): 19-20; "Faculty Mobility," This Week at Carleton 20 (5 September 1979).

[2] C. Neff, "Faculty Retraining in Four States," AAHE Bulletin 31 (October 1978): [1], 5-6

The article is attached. From it, and from the reports received from the project directors, the following significant points emerged.

1. The importance of incentive. The threat of retrenchment was the immediate cause behind the introduction of the programmes - over 80 faculty in each of the Wisconsin and the Pennsylvania systems were designated for dismissal. Not surprisingly, the popularity of retraining waxed and and waned according to the immediacy of the danger; interest in the programmes dwindled as soon as the threats were lifted. Les urgent, but also compelling, was the desire to relocate teaching staff from courses with declining numbers in those that were expanding, for example from humanities disciplines to applied specializations. All four reports emphasised this motive.

2. The disciplines involved. In most cases, the faculty member was retrained for a particular area of his established discipline or a "bridge" area. The definitions of retraining in fact referred to a "broadening of expertise in allied fields of study" (Wisconsin). Opportunities to capitalize on academics' previous experience and interests were used. At Penn State, ten of the eleven retrainees in a particular year remained in their own departments, and reported that they were doing much the same things as they had done before. On the other hand, an historian at Penn State moved to the Chemistry department to teach the history of science.

Relocation in different departments was quickly found to be fraught with difficulties. At Florida, the first scheme to be implemented, the serious friction that resulted over such sensitive matters as seniority almost nullified the effect of the transfer; only very careful, advance arrangements between old and new departments could reduce tensions.

As a preventative measure, the SUNY scheme (the most recent) laid down very clear guidelines for the trainees, the departments involved and the university administration, and so avoided many of the difficulties experienced at Florida.

It should be noted that not all applicants who requested retraining received it. At SUNY, just over half were accepted; at Penn State, only 14 of the 83 to be retrenched in 1976-77 were successful (4/11 and 7/8 in subsequent years); only a fraction of Wisconsin's applicants were accepted. The reports stressed that the determinants of selection were the needs of the institution and the departments, together with the sophistication and usefulness of the retrainee's intentions.

3. Assessment. Without doubt, the most imaginatively conceived and productive scheme was that in operation at SUNY, where the planners had the benefit of the Florida, Pennsylvania and Wisconsin models. It involved a number of interpretations of retraining, ranging from a total shift in disciplines to a shift in emphasis within a discipline, and encompassing movement into an academic support area. The SUNY scheme, its planners concluded, was "humane and effective ... [and] workable within the constraints of tenure, contracts and unionism." An estimated 28 faculty were to have been retrained by 1979. Despite its short history, the evidence bears out the report's conclusion that the scheme was a "very promising" means of meeting "new programme needs under circumstances of reduced resources and high tenure ratio."

Other reports were less enthusiastic about the potential of retraining. At Florida, the programme was discontinued because of financial difficulties, although it was deemed successful (18 were retrained).[1] The Wisconsin report described retraining as a "remedial" method that was "occasionally" appropriate, but the impressed state legislature gave retraining the highest priority in a four part plan the university presented for faculty development and renewal. At Penn State, the programme appeared to appeal to individual faculty members, and then only when they were threatened with lay-off; department chairmen and academic vice-presidents regarded it as a low priority item, suitable in times of trauma such as retrenchment.

C.V. Patton's survey of early retirement and mid-career change programmes for academics led him to ambivalent conclusions. Clearly, the need for little new funding (tuition fees and certain other expenses which generally amounted to $3-4000) was a positive feature. However, he also pointed to placement and status problems which has reduced the potential advantages. He estimated that a mid-career change rate of 2-3% was probably a maximum, "no matter how much money as university of college might produce."[2] Patton finally concluded that "it may be that programmes to encourage mid-career change would be useful in making a few important adjustments but would not induce any dramatic changes on the faculty."[3]

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[1] The success or otherwise is very difficult to tell from the report sent.

[2] C.V. Patton, "Survey of Institutional Practices and an Assessment of Possible Options Relating to Voluntary Mid- and Late Career Changes and Early Retirement in University and College Faculty - Final Report" (Bethseda, Md.: ERIC Document Reproduction Service, ED 1S2 183, 1977), p. 194.

[3] Patton, "Survey," p. vii.

In conclusion, it is obvious that internal transfer is not the panacea of all staffing ills besetting higher education. The reports agree either implicitly or explicitly that mid-career change is most valuable in individual cases. In some instances, it may be useful as an incentive; in other instances, it seems that much retraining occurs voluntarily, by private study, during sabbaticals, through curiosity and without structures, formalities and programmes.[1]

2. *Exit-Training*

In the schemes referred to above, retraining occurred within the context of a university or a system of universities and, with minor exceptions, within a particular discipline. Retraining can also be defined to encompass preparation for or assistance in moving to a non-university position - i.e., "exit-training."

Career changes from university teaching and research to non-academic positions are a potential source of faculty mobility, one that deserves exploration. In the first place, some individuals have made this type of change in the past, although in the days of academic expansion, the movement was generally from government, business or industry to university;[2]

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[1] For the important but largely unresearched area of informal transfers, see "Faculty Mobility," This week at Carleton 20 (5 September 1979). The extent of internal mobility and many other factors such as ages, fields, and rate of outmigration, which would comprise an extensive faculty profile, require much more research before retraining schemes can be launched with confidence.

[2] Williams et al (1974) found that 62% of British academics had spent at least six months in full-time employment outside of the university, most of them (66%) before their academic appointment. Statistics Canada figures for the recruitment of professors in Canadian universities between 1972 & 1975 indicated that approximately 5% came from government and a further 4% from trade and industry.

some have moved from university posts to business, agency or civil service and then returned.[1] Relevant figures are patchy, particularly for the Canadian professoriate, but it is quite evident that there is some mobility between university posts and positions in business, industry, government, philanthropic organizations and research institutes.[2] Secondly, middle age (the period between 35 and 55) is being seen increasingly as a time for re-assessment of life and career goals,[3] and the vast majority of professors in Canada are middle-aged , under 55 - a coincidence that may provide more room for manoeuvre in staffing policies than is generally thought to exist.

Patton claimed that a "substantial minority" of American academics move between university and other positions, but he found no examples of exit-training.[4] However, certain solutions suggested to alleviate another, related crisis in higher education - unemployment among recent doctoral graduates - may well provide examples useful to those planning an exit-training programme for academics. The lack of university positions for young Ph.D. holders has become a problem of such magnitude in some disciplines that it can no longer be ignored, and heated debates on the matter have erupted in American learned socieities devoted to the humanities and social sciences. Several important arguments which have surfaced in those controversies are also applicable to exit-training for academics, not least because they involve the nature of academic training and, by implication, the nature of academic work.

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[1] The Williams' survey (1968-69) found that 21% of British academics had moved out of university work and then returned. Williams et al, Academic Labour Market, p. 175.

[2] von Zur-Muehlen, "The Age Structure of Canadian University Teachers and its Implications; Notes prepared for the CAUBO/NACUBO Annual Meeting, 12-14 July 1978 in Montreal" (Typescript, [1978]), p.8. The regular feature in University Affairs, "People/Que font-ils?" reports the movement of some individuals between university and other employment sectors. The tendency in the past two or three years to take "outside" appointments for a short period, between two and five years, lends weight to von Zur-Muehlen's assertion that this type of mobility is declining.

[3] Amid the rapidly expanding literature on this subject, two books in particular treat mid career change from the standpoint of higher education: S.B. Sarason, Work, Aging and Social Change: Professionals and the One-Life-One-Career Imperative (New York: The Free Press, 1977) and D.L. Hiestand, Changing Careers After Thirty-Five: New Horizons through Professional and Graduate Study (New York: Columbia University Press, 1971).

[4] Patton, "Survey," p. 49

The American Anthropological, Historical, Philosophical and Modern Language Associations, which represent disciplines in which the supply of Ph.D. holders will continue to far exceed available university positions for at least the next decade, have become involved in investigating and promoting "non-academic placement" (NAP) among their young, unemployed doctoral graduates. Expanded job lists, workshops on how to find a job for graduates and on the rewards of hiring Ph.D. holders for employers, and propogandist articles about actual and potential employment opportunities for Ph.D.s in their branch of the humanities and social sciences form an increasingly prominent feature of the Associations' activities and their publications.[1]

The Associations' concerns have hitherto been limited to graduate students, to stimulating their interest in and respect for non-academic placement. Nonetheless, many of their arguments are equally applicable to the attitudes of their older academic members, and pertinent to the encouragement of non-academic employment for university professors, including the establishment of an exit-training programme, in several different ways.

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[1] The material which follows comes largely from the American Philosophical Association Proceedings and Addresses, the American Anthropology Newsletter, the American Historical Association Newsletter, and the Modern Language Association Newsletter; the issues since 1976 have been consulted. They contain regular reports of NAP committees, correspondence and editorials on the subject. The debate has been particularly heated in the APA and the AAA; the AHA's National Co-ordinating Committee seems to have been well received. See also Beryl Benderly, "Thinking the Unthinkable: Learned Societies React to the Job Shortage," Change 9 (6) June 1977:13-15.

First, the debates have involved examination and articulation of the skills of Ph.D. holders in research, analysis, decision-making and communication as well as their knowledge of a particular discipline. These abilities have been presented as highly desirable contributions to corporations, government and private agencies.[1] NAP's promoters have also suggested that most Ph.D.s underestimate the variety and value of these skills which, when combined with their specialized knowledge, can extend beyond teaching in the college classroom to the practical application of the discipline, perhaps in a slightly modified form, in the outside world. For example: anthropology → medical anthropology → community nutrition;[2] or, less obviously, philosophy → personnel management or philosophy → data processing.[3]

Since the Ph.D. degree is the most common entry qualification for membership in the professoriate and the main method by which academics create the reservoirs from which their successors are recruited, these arguments are as applicable to professors as they are to recent Ph.D.s. Indeed, the administrative experience gained by most academics from participation in departmental, faculty or university committees, or in their professional associations adds to the list of their transferrable skills.

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[1] J. Conarroe, "Comments from the Editor," MLA Newsletter 11 (2) Summer 1979:4; D. G. Harrison, "Aristotle and the Corporate Structure," APA Proceedings 50 (2) November 1976:116-19; E. K. Coughlin, "Can New Ph.D.s Find Employment and Satisfaction Outside Academe," Chronicle of Higher Education XVI (5) 27 March 1978:10.

[2] B. Watkins, "Anthropologists Said to Scorn Non-Academic Jobs," Chronicle of Higher Education XVII (13) 27 November 1978:11.

[3] For example, N. E. Bowie, "Proposal to Identify Potential Employers in Non-Academic Areas of Philosophers with Advanced Degrees," APA Proceedings 51 (3) February 1978:361-68.

Secondly, the debates have exposed some of the mutual misconceptions held by academics and businessmen, and the various schemes to promote NAP have devoted considerable attention to this problem. Exposure and erosion of the stereotypes of wild-eyed, radical or absent-minded professors and unimaginative, conscience-bereft company employees are essential, both for the Ph.D. holder (be he recently graduated or an academic for some years) considering a business position and/or a businessman considering the Ph.D. holder's suitability.[1]

Thirdly, the practical actions taken by the Associations, or more especially their committees, have considerable relevance to an exit-training programme and to a less aggressive approach, an exit policy. The AAA and MLA gather examples of Ph.D. holders in non-academic careers such as publishing, banking, business, journalism, consulting and research agencies.[2] The Anthropology Newsletter's regular feature, "Anthropologist at Work," examines the careers of "non-traditional anthropologists," most of whom have moved between university and non-university positions at least once.[3] The APA Proceedings have included essays on the contributions of philosophers to corporate affairs and higher education administration.[1] In addition to publishing general information, the Associations' NAP committees have advised individual members, spoken to business and industry leaders, and mounted workshops for job-seekers and potential employees. Some, if not all, of these activities deserve serious consideration by planners implementing faculty retraining programmes.

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[1] Coughlin, "Can New Ph.D.s Find Employment?" p. 10.

[2] The "Career in Business" project (summer internships in corporations for Ph.D. holders) is a successful case in point. Coughlin, "Can New Ph.D.s Find Employment," p. 10. See also C. Rigolot (ed.), "Alternate Careers for Ph.D.s in the Humanities," Report of a Conference of Academic Leaders and Executive Officers of Life Insurance Companies at Princeton University, 10-11 March, 1977. Sponsored by the University Advisory Council of the American Council of Life Insurance.

[3] Examples include anthropologists working in agencies, museums, government and consulting firms. The series started in mid 1978.

Finally, recent modifications in some graduate programmes in American universities are interesting and significant for supporters of faculty retraining. Perhaps the most valuable innovations for this purpose are the so-called "public history programmes" introduced in a number of history departments.[2] They were designed to reinforce and to supplement customary research and analytic techniques with more obviously practical, "marketable" skills, e.g., record and archive management, preservation and restoration of cultural resources, and policy analysis in corporations and government. Despite their infancy, the programmes have evoked considerable optimism.[3] Such programmes, based on assumptions that are not confined to the discipline of history, deserve consideration in any scheme of exit-training for academics.

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[1] Harrison, "Aristotle and the Corporate Structure;" W. H. Capitain, "The Fitness of the Philosophically Trained for Positions in Higher Education Administration," APA Proceedings 51 (6) August 1978:769-71.

[2] The percentage (3%) is small, but the actual number, 48 out of 1800 surveyed, is large enough to reflect a variety in the programmes.

[3] Coughlin, "Where are the Jobs? Outside Academe, More and More Historians Find," Chronicle of Higher Education XVII (17) 8 January 1979: [1], 11.

[4] A recent APA Statement on Graduate Education stressed that a Ph.D. holder should have a knowledge of philosophy as it applies to other disciplines such as law, politics, religion, art and science. APA Proceedings, 50 (4) March 1977:306.

Overemphasis should not be placed on the potential of these NAP activities as easy solutions to the lack of mobility in the Canadian professoriate, and several major hindrances to the usefulness or popularity of an exit-training scheme must be mentioned:

1. Alternative career openings have undoubtedly been reduced by financial stringencies similar to those affecting universities, particularly in other levels of education, in government and research. Moreover, the competition for such openings will be intensified by the entry into it of academics from a variety of disciplines, each claiming special skills for the position.[1]
2. The benefits of having a corporation employee with a Ph.D. in a humanities discipline may well be apparent only to the Ph.D. holder himself.[2]
3. There is some danger that the best, most innovative and productive faculty members will be lost to the universities in a generous exit scheme.[3]
4. The paucity of the research on the Canadian professoriate, for example, the lack of figures on mobility, on attitudes to early retirement and on job satisfaction, dictates that exit policies and programmes

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[1] For a strongly worded statement on this, see P. Kay, "The Myth of Non-Academic Employment: Observations on the Growth of an Ideology," Anthropology Newsletter 18 (8) October 1977:11-12.

[2] E. Chambers, "Anthropologists in Non-Academic Employment," Anthropology Newsletter 18 (6) June 1977:6.

[3] There is a great need for careful research, particularly with respect to salary differentials. An investigation of this concern in relation to early retirement suggested that the most active scholars and researchers wish to stay as long as possible in the university community. E. C. Ladd jr. and S. M. Lipset, "Many Would Retire If Law Were Changed." Chronicle of Higher Education, 7 November 1977:7.

should be treated with considerable caution.[1]

5. A final nagging question concerns the value of an exit-*training* scheme as opposed to an exit policy. Movement between the academic world and certain non-university positions has long existed without the benefit of training programmes. Patton's research led him to suggest that such programmes might be less effective than simply providing a career changer with information about alternatives.[2] However, exit-training schemes may be a method of increasing outmigration; that is, they might stimulate interest in NAP, encourage individual faculty to examine their own career and life goals and even to explore employment opportunities outside the university. In that case, if the NAP activities aimed at graduate students are a reliable guide, then changes in professorial attitudes towards employment ouside the university are essential components, if not prerequisites, for a successful retraining programme.

Ultimately, the popularity of exit-training will depend on a variety of factors--the way in which it is promoted, the availability of alternative positions and the portability of pensions and benefits, and most importantly the threat of retrenchment. Even minimising the difficulties associated with it, exit-training is only one, very partial solution to the lack of mobility in the Canadian professoriate. The NAP activities of the American learned societies may well be far more successful as a solution to the oversupply of Ph.D.s than as an inducement for faculty members to explore non-academic employment--although internal transfer schemes were described as successful when quite small numbers were involved. However, since for the next decade and a half, vacancies in the Canadian professoriate through resignations, retirement and morbidity are expected to be few in number and dismissals are a real possibility, then all serious attempts to provide for the recruitment of new, recently graduated members is worthy of attention.

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[1] Williams *et al*. (1974) and Sarason (1977) made a number of interesting discoveries about job satisfaction among university professors that deserve further consideration. Williams *et al*. discovered that almost four times as many British academics apply for jobs outside universities as get them, while Sarason's attempt to investigate mid career change among American university professors led him to conclude that probably a "sizable" number were interested in an opportunity to consider alternative employment. Williams *et al*, *Academic Labour Market*, p. 180; Sarason, *Work, Aging and Social Change*, p.241. For Sarason's proposal and the opposition it encountered, see also pp. 239-40.

[2] Patton, *Academia in Transition; Mid-Career Change or Early Retirement* (Cambridge, Mass.: Abt Books, 1979), p. 22.

Conclusion

It is difficult to discuss faculty retraining as a means for remedying the staffing crisis in higher education without being excited by its ingenuity on paper and doubtful about its impact in practice. This is particularly true of internal transfer. As a form of faculty development for individuals whose interests in their discipline have altered during their career and whose new interest coincides with an understaffed department in the university, it has much promise. While internal transfer does not create new positions, in a period of limited recruitment and possible retrenchment, it is an important method of providing new blood in programmes.

Exit-training appears to have more potential for dealing with the problems associated with a middle-aged professoriate than retraining for internal transfer. Unfortunately, no schemes exist. In the event of an increase in outward mobility, because of retrenchment for example, or a continued decline in real salaries for academics, then the most useful models for a retraining scheme might be those introduced by American learned societies to promote non-academic placement among their unemployed Ph.D. holders. There are two major impediments to the popularity of exit-training. One is the current state of the outside job market, particularly the areas to which academics would naturally turn. The other stumbling block is professorial attitudes to non-academic work; it is regarded as inferior, restrictive in hours and demands, and acceptance of it is tantamount to an admission of failure in the academic profession.

In the long run, the main incentive for accepting retraining will be the likelihood of retrenchment.

APPENDIX I

Annotated Bibliography on Faculty Retraining

Patton, C. V. Academia in Transition: Mid-Career Change or Early Retirement. Cambridge, Mass.: Abt Books, 1979.

Despite the title, only a very small portion of the book is devoted to mid-career change. Patton refers briefly to examples from industry and government, and then to the retraining programmes implemented in four major American university systems (State University of Florida, Pennsylvania State Colleges, State University of New York and the University of Wisconsin). Surprisingly, he provides only a very general description of these schemes, and is frustratingly vague about such details as numbers involved and examples of retrained faculty members. Patton is ambivalent about the effectiveness of mid-career change as a solution to universities' staffing and hiring crises. While optimistic about its potential to increase the flexibility of resources and to raise faculty morale, he is doubtful that universities have any incentive to expand the programme into one for exit-training, about costs and finally about the number of faculty members who would be attracted unless directly threatened by dismissal. The section on early retirement is far more informative than the few pages on mid-career change.

See also the report on which the book was based:

C. V. Patton *et al*, "A Survey of Institutional Practices and an Assessment of Possible Options relating to Voluntary Mid- and Late Career Changes and Early Retirement of University and College Faculty. Final Report." Prepared for the National Science Foundation, November 1977. Bethseda, Md.: ERIC Document Reproduction Service, ED 152 183, 1977.

Neff, C. "Faculty Retraining in Four States." AAHE Bulletin 31 (October 1978): [1], 5-6.

This concise, information-packed article by the Director of the SUNY project on Faculty Retraining outlines the mechanics of the four existing American schemes of faculty retraining, providing basic and comparative data on the selection and characteristics of participants, financing, length and type of programme, and on implications for the future development of retraining.

"Faculty Mobility," This Week at Carleton 20 (5 September 1979).

Carleton is one of several Canadian universities with a policy for academics who are interested in changing their teaching and research interstes. This article, however, is about faculty who moved from one department to another at Carleton before the policy had been formulated. These voluntary transfers were the culmination of the development of a new research interest in the professor's discipline or in an allied field. This is a short but important article on retraining, containing examples of the kinds of transfers which probably occur in many universities.

Sarason, S. B. Work, Aging and Social Change: Professionals and the One-Life-One Career Imperative. New York: The Free Press, 1977.

Sarason's interest in the job satisfaction of highly educated professionals outside business or government is both academic and personal. A psychologist in an institution, in a university department and then founder of a university clinic, he examines the motives for his own career changes. He also recounts his attempt to survey academics about their interest in mid-career change which encountered such strong resistance from university administration that it was abandoned. Although not his major concern, Sarason's comments about dissatisfaction with their jobs among medical practitioners are of interest and appropriate to the academic profession. (See especially pp. 99-116, 160-67, 196-206 and 237-52.)

Anthropology Newsletter.

The American Anthropology Newsletter has devoted an increasing amount of space to discussions of non-academic placement, in its correspondence columns, job sections and, most recently and imaginatively, through its regular feature, "Anthropologist at Work," which describes the careers of "non-traditional" members of the profession. Most of them have moved between government, agency and university position at least once, and they are interesting examples of informal "retraining" within a profession. Since the mid 1970s, the American Historical Association Newsletter and the American Philosophical Association Proceedings have documented the efforts to sell Ph.D.s in their disciplines as useful and competent in non-academic positions, although their styles are less aggressive that the approach of the Anthropology Newsletter.

von Zur-Muehlen, M. "Profile of University Teachers in the Mid Seventies. Selected Characteristics." Part II. Typescript, 1 May 1977.

This paper includes data bout the previous employment of members of the professoriate in Canadian universities hired between 1972 and 1975.

———. "The Age Structure of Canadian University Teachers and Its Implications." Paper prepared for the CAUBO/NACUBO Annual Meeting, 12-14 July 1978, in Montreal. Typescript, [1978].

Faculty mobility is discussed briefly. See pp. 8-11, 25-29.

Brown, D. G. *The Mobile Professors*. American Council on Education, 1967.

The inclusion of this book, which deals with another staffing crisis in higher education, *shortage* of faculty, is not for sheer nostalgia for the early 1960s. Brown regards the mobility of academics, at least between universities, as an integral part of the academic career and a necessary stimulus for fresh teaching and research. He does not speculate about the obverse side of the coin, that is, the consequences on a professor's work of severely restricted mobility, but it deserves consideration as one of the less tangible effects of hiring restrictions. Brown also mentions two other matters important to faculty retraining: professors' ignorance of jobs in both the academic and the outside worlds, and their almost universal refusal to consider any non-academic employment before being hired.

Williams, G., T. Blackstone and D. Metcalf. The Academic Labour Market: Economic and Social Aspects of a Profession. Amsterdam: Elsevier Scientific Publishing Co., 1974.

This study of British academics in the late 1960s includes considerable material on mobility. Unlike their American counterparts, they were "unwilling or unable" to move between different types of university (e.g., Oxbridge to redbrick) or between university job and outside employment. Social and applied scientists were, not surprisingly, the most mobile academics; staff in the humanities and pure sciences the least so. Mobility and potential mobility (e.g., job applications outside) are treated in reasonable detail.

Collings, K. The Second Time Around: Finding a Civilian Career in Mid Life. (Mass.: The Alpine Press, 1967).

Collings combines his research on military retirees and his personal experience to provide practical advice for middle-aged retired servicemen seeking jobs in civilian life. Some of his comments and conclusions are applicable to academics: the age groups under consideration are identical; academics and military men are often criticised for their isolation from the "outside world;" there are "civilian" jobs which require the knowledge or skills used in the military or university; both groups of retirees face acute job shortage in the areas they naturally turn to, i.e., education and government service; and both groups are hampered by stereotypes which colour prospective employers' attitudes towards them.

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Benderly, B. "Thinking the Unthinkable: Learned Societies React to the Job Shortage." *Change* 9 (June 1977):13-15.

Bowie, N. E. "Proposal to Identify Potential Employers in Non-Academic Areas of Philosophers with Advanced Degrees." *American Philosophical Association Proceedings* 51 (February 1978):361-68.

Bulmer, M. "Gulf Between Research and Policy." *Times Higher Education Supplement*, 7 July 1978, p. 11. (This suggests incompatibilities between academic researchers and applied social researchers which hinder mobility.)

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Coughlin, E. K. "Can New Ph.D.s Find Employment and Satisfaction Outside Academe?" *Chronicle of Higher Education* XVI (27 March 1978):10.

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Conarroe, J. "Comments from the Editor." *Modern Language Association Newsletter*, 11 (Summer 1979):4.

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Hiestand, D. L. *Changing Careers after Thirty-Five: New Horizons Through Professional and Graduate Study*. New York: Columbia University Press, 1971.

Kay, P. "The Myth of Non-Academic Employment: Observations on the Growth of an Ideology." *Anthropology Newsletter* 18 (October 1977):11-12.

Rigolot, C. (ed.) "Alternative Careers for Ph.D.s in the Humanities." Report of a Conference of Academic Leaders and Executive Officers of Life Assurance Companies at Princeton University, March 10-11, 1977, sponsored by the University Advisory Council of the American Council of Life Assurance. Bethseda, Md.: ERIC Document and Reproduction Service, ED 142 057, 1977.

Wallerstein, G. "Faculty Changing Departments: Why, Who and Where?" *AAUP Bulletin* 62 (October 1976):322-24.

Watkins, B. "Anthropologists Said to Scorn Non-Academic Jobs." *Chronicle of Higher Education* XVII (27 November 1978):11.

«LAY-OFFS»: A CASE STUDY
OF
RYERSON POLYTECHNICAL INSTITUTE

ACKNOWLEDGEMENTS

The author of this Case Study wishes to thank the following people who graciously gave of their time in providing data and guidance in development of this Case Study.

Dr. Greer Boyce, Professor, Emmanuel College, Victoria University, University of Toronto.

Mr. Larry Gray, Chairman, Psychology Department, (Review of the Questionnaire).

Mr. Jim Packham, Vice President Academic.

Dr. Charles E. Pascal, Chairman, Higher Education Group, Ontario Institute for Studies in Education.

Mr. Walter Pitman, President, Ryerson Polytechnical Institute.

Mr. Ron Shirtliff, Past President of Ryerson Faculty Association.

Mr. Tony Wilkinson, Dean, Community Services.

A special thank you to the ex-Ryerson faculty, who took the time to answer the questionnaire. Appreciation is expressed to Doreen Hannah for typing the document.

This Case Study was prepared by Lou Lewis, Associate Director, Centre for Instructional Development, and former member of nursing faculty, Ryerson Polytechnical Institute, at the request of Mr. Walter Pitman, President, Ryerson Polytechnical Institute, as a basis for discussion at the Seminar, "Manpower Flexibility" and not to advocate a particular position or to illustrate either effective or ineffective handling of redundancy at Ryerson Polytechnical Institute.

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"LAY-OFFS": A Case Study of Ryerson Polytechnical Institute

Synopsis: This case study deals with the specific problems of redundancy and lay-offs of tenured and probationary faculty within one department, Nursing, at Ryerson Polytechnical Institute. The case study also deals with the effect the lay-offs had on the entire Institute as it dealt with the complex problems of individual lives, Institute policies, retraining, transfer and other issues involved in retrenchment and redundancy of faculty.

Synopsis of the Ryerson Polytechnical Institute Case Study

The case study is presented in two parts. Part I gives a broad overview of Ryerson Polytechnical Institute to provide the context in which the case occured, and the history of the development of the nursing department prior to the identification of redundancy within the department. Part II gives the narrative of events of the actual lay-off situation, how the Institute responded, a follow-up report of those individuals laid-off and a listing of the continuing issues the Institute still faces in a time of retrenchment.

PART I

A Historical Perspective

Ryerson Polytechnical Institute (R.P.I.), was established originally in 1948 as an experiment in technical education at the post-secondary level. The Institute was named in honor of Dr. Egerton Ryerson, who served as the Chief Superintendent of Education from 1846 to 1876. Under the leadership of Dr. Ryerson, the Ontario Education System was established and centred in the Toronto Normal School for teacher training, on the site now occupied by the Institute.

Establishment of Ryerson Polytechnical Institute in 1948

Ryerson originally provided trades trading to students, but rapidly evolved into a polytechnical institute offering broad and diverse programs.

In 1971, Ryerson was empowered by the Government of Ontario to grant the Bachelor of Technology and Bachelor of Applied Arts degree, in addition to its certificates and diplomas. In 1977, an amendment to the Ryerson Act, provided for the Institute to grant the Bachelor of Business Management degree also.

In 1971 Ryerson started granting degrees

Presently, Ryerson is the only degree granting polytechnic within the Ontario University System. In September 1978, The Ontario Council of University Affairs, in its report, The Ontario University System A Statement of Issues, recognized Ryerson as the only centre for polytechnic degree education in Ontario and stated that "New (polytechnic) programs should only be started (within the university system) in those areas designated by Ryerson and its advisory committees as having both excessive student demand and ample opportunities for additional graduates". [1]

Ryerson is the only Polytechnic in Ontario

Present Programs and Philosophy

Ryerson offers thirty-three day school programs in the areas of Arts, Applied Arts, Business, Community Services, and Technology, which require from two to five years for completion. Twenty-two of these program offerings lead to the Bachelor of Applied Arts, Business Management or Technology degrees, while the remainder lead to diplomas or certificates. In each of these programs, theory and practice blend to equip students with the skills that will allow them to become fully functioning members of their profession immediately upon graduation. The divisions and programs are as follows:

Summary of Present Programs, Enrollment and Faculty

Applied Arts: Fashion, Graphic Arts Management, Interior Design, Journalism, Library Arts, Photographic Arts, Radio and Television Arts, Theatre.

Arts: Applied Geography, Diploma in Arts.

Business: Business Administration, Business Management, Hospitality and Tourism Management, Secretarial and Administrative Studies.

Community Services: Early Childhood Education, Home Economics, Nursing, Public Health Inspection, Environmental Health Administration, Social Services, Urban Planning and Regional Planning.

33 day Programs in five divisions

Technology: Aerospace Engineering Technology, Architectural Science, Construction Management, Chemical Technology, Civil Engineering Technology, Computer Applications Technology, Electrical Technology, Geodetic Sciences, Industrial Engineering, Laboratory Science, Landscape Architecture, Mechanical Engineering Technology and Metallurgical Technology.

Total day-time student enrollment at Ryerson for the Fall 1979-80 semester is 9,463 full time students and 1,269 part-time students.

There are 568 regular faculty, 139 part-time faculty, as well as 86 sessional faculty teaching these programs.

In addition to its day school programs, Ryerson offers a wide range of credit and non-credit courses through the Continuing Education Division. This rapidly expanding division which had an increase of 85% enrollment since 1977, presently offers over 600 courses in thirty-seven programs, credit and non-credit. These are designed to meet the needs of the adult

Description of the Continuing Education Division learner. Courses are available in business, arts, social science, public service and technology. Approximately thirty-five programs offer certificates in a chosen field of study and seventy per cent of programs lead to a degree or certificate. There are 22,493 individual students enrolled in courses in Fall, 1979. There are 29,241 registrations for courses this fall. 110 full time equivalent faculty teach these courses.

70% of Continuing Education Courses lead to a degree or certificate

Philosophy of Ryerson's Programs

While all programs at Ryerson are structured and integrated to be relevant to the world of productive employment, they also include a base in the humanities and a concern for academic excellence comparable to that found in the classical university.

The objective of this blend of the practical, theoretical and liberal studies is to produce graduates who can both think and do, a concept which is embodied in the Ryerson motto, "Mente et Artificio" - with mind and skill. The Ryerson style makes economic and academic sense. In addition to producing graduates who can contribute immediately to the success of any enterprise, it places young people on a career path which they can pursue not only through further formal educational activity, but also through the development of their own experience and insight.[2]

Ryerson's blend of theoretical and practical produce graduates using mind and skill

Background of the Development of The Nursing Department Within Ryerson Polytechnical Institute

With RPI being the first polytechnical institute within the province and its emphasis on skill as well as knowledge and career-oriented programs, it was appropriate that Ryerson, in 1964, established the first diploma nursing program in Canada organized with an educational institution. The program represented the first diploma nursing school to be conducted within the system of general education, and away from the auspices of hospital training programs. This new program was supported by the Registered Nurses Association of Ontario and it committed itself to a study of the first five years of the Ryerson program. The findings of the study are available in a book entitled Learning to Nurse the First Five Years of the Ryerson Nursing Program. From the establishment of the program, all successful graduates were and still are eligible to write the qualifying registration exam to be registered nurses with the College of Nurses of Ontario.

Ryerson's Nursing Program began in 1964

Description of the Original Nursing Program

The original Ryerson nursing program had seventeen students and three faculty. From its beginning, the Ryerson program directed its aims which related to the nurse "who has a broad education; a sound basis in the sciences including the behavioral sciences; a thoughtful and analytical approach to the nursing of patients; an independent, questioning and confident outlook on nursing care and on health service in general".[3]

Original Nursing Program had 3 faculty and 17 students

The nursing program remained relatively small in numbers from 1964 - 1973. This was due to the philosophy of quality as well as Ryerson's objective to have the program as an integral part of the entire institute, as well as a changing emphasis from nursing education as "training", to an educational process that developed those skills and knowledge available only within a general framework of education.

From the conception of the nursing program in 1964 as integral functioning part of the Community Services Division, its faculty members, as all other faculty members, were employed under a formal collective employment contract, as part of the terms and conditions of the collective agreement between the faculty members and the Board of Governors. This contract forms the basis for agreement in both an academic and professional sense as well as legally.

Faculty in Nursing an Integran part of Ryerson

The R.F.A. Agreement has been a collectively bargained basis for faculty employment since 1967. It applies to all full-time(tenured stream) academic employment. It is a voluntary agreement not subject to the provisions of the Labor Relation's Act and provides for binding arbritration rather than strike or walk-out.

Integration of Diploma Programs: Spring 1973

In the spring of 1973, events began to occur that would have far reaching effects on many individual faculty, as well as student's program and the Institute as a whole.

Spring, 1973 a crucial time

In the spring of 1973, the student enrollment in Ryerson's Nursing Department was 175 and faculty full time were 17. In June of 1973, the Ministry of Health and the Ministry of Colleges and Universities instituted a plan to transfer all diploma nursing education out of hospital based schools and into the educational system. All schools would be integrated into the community colleges and into R.P.I. Ryerson, under the Health Disciplines Act, is in a separate category from the community colleges. At that time, Ryerson had no input into this decision by the two ministries. Ryerson was directed jointly by these two ministries to assume responsibility in September 1973, for the nursing education program of the following hospital schools in addition to its own program:

Integration of three diploma schools into Ryerson

The Hospital for Sick Children
Wellesley Hospital
Women's College Hospital

This involved the integration of approximately 500 students, including thirty graduate nurses who were taking a special program of studies leading to a certificate.

Transferring Faculty's Employment Conditions between RFA and Board of Governors

One can hardly imagine the task of transferring students, and faculty,as well as the planning for enormous increase in numbers within a two month period of time. Involved in this transfer were sixteen full time administrators from the various schools as well as the faculty members to be hired by Ryerson as other transferring faculty from the hospital schools. The conditions of employment are listed in the Ryerson Faculty Association Aggreement between the Board of Governors of Ryerson Polytechnical Institute and Ryerson Faculty Association in July 1974, under "Special Provisions for Transferring Faculty" from the hospital schools. These provisions are explained in Exhibit I, from Appendix D, Article III, of the Ryerson Faculty Association Agreement.

EXHIBIT I

"Special Provisions for Transferring Faculty" from Appendix D, Article III, Agreement between the Board of Governors Ryerson Polytechnical Institute and The Ryerson Faculty Association, July, 1974.

III. WITH RESPECT TO ARTICLE III - STAFFING

(a) With respect to Art. III, A, 2b:
(1) The appointment of Transferring Faculty need not be recommended by the Department

Appointments Committee.

(2) Transferring Faculty who, on September 1, 1973, had completed less than three years teaching service at their former Hospital School of Nursing will be appointed to the probationary staff. The length of the probationary period shall be such that the total length of teaching service at the former Hospital School of Nursing combined with teaching service at the Institute shall total three years.

Those transferring with less than three years at Hospital School would be on Probationary Staff

(b) With respect to Art.III,A,2c:

(1) The assessments for teaching competence for the academic year 1973-74 must be completed by August 31, 1974.

(2) The assessment which should have occurred during the Fall Semester of 1973 shall be waived.

(3) Should the Committee mentioned in I,a, (supra) not make the required assessment for the academic year 1973-74, this shall not operate to postpone the granting of regular status for the Transferring Faculty involved.

(c) With respect to Art.III,A,3:

(1) Transferring Faculty who, on August 31, 1973 had completed at least three years of regular teaching service at their former Hospital School of Nursing will be eligible for regular status immediately. This status will be confirmed subject to assessment of teaching competence conducted by two members of the Committee at the reasonable request of the Transferring Faculty or the Committee, but in no case other than that referred to in paragraph c2 (infra) will confirmation be delayed beyond March 1, 1974.

Those with three years of service at their former School of Nursing eligible for Regular status at Ryerson

(2) In the case of Transferring Faculty with the requisite three years teaching service who have no current teaching duties, the March 1, 1974, deadline will not apply. In this case, confirmation of regular status will occur following assessment conducted by two members of the Committee as soon as teaching responsibilities can be arranged.

(d) With respect to Art.III,E:

(1) In the case of redundancy in the Nursing Department, all Nursing Faculty (er: Transferring Faculty and Ryerson Campus Faculty) who had probationary status as of September 1, 1973, shall have their positions protected with respect to subsequently appointed Probationary staff in the Nursing Department.

Redundancy Clause spelled out

(2) Should Faculty reduction be necessary in the Department of Nursing and should Transferring Faculty have equal Ryerson seniority, length of service at the former Hospital School of Nursing, as well as ability, shall be the prime considerations.[4]

This written agreement as well as the unwritten "spirit" of the agreement, caused a great deal of confusion, debate and misunderstanding later on between the nursing faculty, the Ryerson Faculty Association executive committee and Ryerson administration. The contract at that time regarding Faculty Reductions had not changed since 1964; all that was written in the 1974 agreement regarding reductions was written in Article III,E., which stated:

The written Agreement and the "spirit" of it caused much debate later

> "Should Faculty reduction be necessary for any reason, every effort will be made to assign regular Faculty members to other teaching duties in the Institute In such instances, seniority and ability shall be prime considerations. Consideration will be given to retraining of Faculty members to adapt them to an available position within the Institute."[5]

The essence of the transfer of faculty and students was planned by a joint task committee of Ryerson, The Ministry of Health, The Ministry of Colleges and Universities and the three nursing schools. This task force worked diligently to integrate the policies and issues regarding employment, curriculum, finances and facilities for such a transfer. A report entitled, Report of the Nursing Task Force at Ryerson Polytechnical Institute, in January, 1974, summarizes in detail the work of this Task Force in its implementing the requirements as directed by the Board of Governors at Ryerson, the Boards of the three hospitals, the Ministry of Health and the Colleges

Transfer planned by a Joint Task Committee and Universities, The College of Nurses of Ontario as well as the guidelines indicated in the "Province of Ontario Guidelines for the transition of Diploma Nursing Education issued by the Ministry of Health and the Ministry of Colleges and Universities.[6]

The Integration of Programs meant a change in the type of Nursing Education for Students

The philosophical idea and major goal of the task group was to integrate faculty,students and the program into an effective operation with minimal disruption of the students learning program as quickly and easily as possible.

This change in responsibility for the nursing education in the province,from hospital based training programs,to educationally sound programs in post secondary education also meant that many "traditions" of nursing would be phased out. It also represented a very basic change in employment for faculty transferring to Ryerson.

Integration meant change of Employment for Faculty transferring to Ryerson

Students who desired to enter the program in Fall, 1974, read the following information about the new integrated program at Ryerson with the transferred diploma programs.

> "The schools of nursing of The Hospital for Sick Children, Women's College Hospital, Wellesley Hospital, joined the Ryerson Nursing Department in September 1973. This followed the government decision to transfer all diploma schools of nursing in Ontario to the Ministry of Colleges and Universities. Gerrard Campus, Grosvenor Campus, Wellesley Campus are the designations used for the transferred schools.
>
> The Nursing Department offers one diploma nursing program. The program is two calendar years in length, comprising six semesters. The curriculum consists of a well-balanced course of study in nursing theory, biological and social sciences and the humanities. Clinical practice is included in each semester. Students are provided with the opportunity to nurse patients in medical, surgical, chronic, geriatric, obstetric, pediatric and psychiatric units." [7]

Description of the Diploma Program, Sept., 1974

A Transition Period

During a transition period starting in 1974 for students and faculty, Ryerson's enrollment in Nursing began to decrease. According to the Vice-President Academic, there were two major reasons for this.

Enrollment in Nursing began to decrease

1. With the integration of hospital schools into Ryerson, this posed a change for students who wanted to follow a traditional pattern to be a nurse, and

2. Within the total context and objectives for R.P.I., Ryerson had the objective for a more manageable size enrollment and program in nursing.

Also, concurrently there was a very high turnover of faculty during this time. It should be noted, that during this time, high turnover among nursing teachers and nurses in practice was very common. In fact, some hospital nursing staff had an annual turnover rate as much as forty per cent during this time. Nurses were needed and were easily employed throughout the province.

High turnover of Nurses during this time

During this transition time, the curriculum changes, physical space problems as well as human problems relating to such a huge change, were being worked on diligently by the department as they integrated four constituent schools and the curricula into one Ryerson Nursing Program.

Student achievement on the State Board exam revealed a successful program result, even in the midst of a large amalgamation.

Summary of Part I

This concludes Part I of the Case Study which has described Ryerson Polytechnical Institute and given an overview of its programs and philosophy. The beginning of the Ryerson Nursing Program in 1964 was described, the integration of three diploma schools in 1974 and the beginning of decreased enrollment in 1974. Policy and employment conditions for all Ryerson nursing faculty have been listed in detail. This provides the basis for the events that are described in Part II.

Summary of Part I of Case Study

PART II

The Beginnings of Redundancy

In 1975, the Ministry of Health in consultation with the Ministry of Colleges and Universities concluded that enrollment in diploma nursing programs was too high for the number of graduates needed within the profession in Ontario.

Ministries concluded that enrollment in diploma schools too high

In less than one year the demand for nurses dropped drastically within the province, and the Ministries concluded that there should be a fifteen per cent reduction in the freshman year enrollment for two successive years (Fall 1976 and Fall 1977). This meant a thirty per cent reduction in 1977-78 R.N. Graduates in the province. This decree included R.P.I. although R.P.I. is in separate category, under the Health Descipline's Act and independent of the Colleges of Applied Arts and Technology system; Ryerson was not asked for input prior to the decision.

With this decree from the Ministries, it was apparent to the administration at Ryerson that, given this requirement by the Ministry, as well as the prior decreasing enrollment, that the faculty in the nursing department could face redundancy. See Exhibit 2, for Enrollment and Staffing Trends of the Nursing Department.

Reduction in Enrollment required

The administration during 1975/1976 however, operated in the hope and expectation that faculty turnover through attrition would allow the Department to adjust without facing the issue of redundancy and faculty lay-off. During this time the Dean of Community Services informed the president of the Ryerson Faculty Association of possible redundancy situation in the Nursing Department. During this time, the demand for nursing graduates decreased, and the turnover of nursing staff dropped drastically. It was soon apparent that the enrollment was dropping faster than faculty turnover, faculty sabbaticals could make up for and so in Winter Term, 1977, it was obvious that the Nursing Department faced lay-offs in the department.

In Winter 1977 Nursing Department faced Redundancy and Lay-offs

EXHIBIT II

NURSING PROGRAM
ENROLLMENT AND STAFFING TRENDS

Year	Event	Enrollment	Staffing
1964	Original Ryerson Program	17	3
1972/73		175	17
1973/74	Integration of 4 Diploma Programs	670	87 (15 pre 1973 faculty-and 72 transferred
1974/75		650	70
1975/76	Enrollment decrease of 15% (Freshman)	570	61
1976/77	Enrollment decrease of 15% (Freshman) and Faculty Redundancy declared Spring 1977	500	55 (11 pre 1973 faculty and 44 post 1973 transfer faculty)
1977/78	August 1978-lay-off of 14 faculty	400	50
1978/79		380	37
1979 /80	Estimate of Enrollment and Staffing	350	35 (Full time academic staff)

Note: 1. Enrollment in F.F.T.E. numbers such that for every 100 full-time Nursing students registered in each term of a trimester curriculum, there would be 150 F.F.T.E. enrollment.

2. Staffing numbers are full-time members of faculty in the Nursing Department. Not included are temporary instructors in the Department, nor faculty in other Departments serving the Nursing students.

3. Information from the Vice President Academic Office.

At that time, in Winter 1977, the Department Chairman estimated that without any faculty turnover, a reduction of up to twenty faculty members in the nursing department would be necessary by Fall, 1978. This meant that for the first time in the history of post secondary education, tenured faculty in a university setting would lose their jobs.

Ryerson Administration Estimated Twenty Faculty Members to be Laid-off.

This critical situation was reported by the Chairman of the department to the Dean of Community Services who in turn reported to the Vice President Academic. This was also reported to the President of the R.F.A. The decision was made that lay-offs were necessary, and they began the long difficult process that would eventually lead to lay-offs in the Fall, 1978.

In a portion of the memo to the Dean of Community Services during this time, the Vice President Academic recorded in detail the fact of redundancy.

> "Enrolment in the Nursing Diploma program during the trimester period commencing September 1978 has been forecast to be 390 F.F.T.E. or less as a result of two successive annual (Sept. 76 and Sept. 77) reductions in freshman enrolment directed by the Ministries of Health and of Colleges and Universities.

Details and Facts of Redundancy Explained by the Administration

> An enrolment of 390 F.F.T.E. in the trimester Nursing Diploma program would require 30.5 F.T.E. net teaching Faculty (see Appendix A). Allowing for 2.0 F.T.E. leaves and 2.5 F.T.E. special assignments, a maximum Faculty complement of 35 is indicated (15% over the net teaching needs forecast). Allowing also for 3 academic administrators for a total Department Faculty of 38, a situation of redundancy clearly exists in terms of a present full-time Faculty of 55.
>
> On the basis of an expected attrition of 3 Faculty, a redundancy lay-off of fourteen (14) must be anticipated. To provide as much relocation time as possible (and exceeding the notice of six months prior to August 31, as specified in the Agreement), the necessary lay-offs will be effective August 31, 1978 with notice May 6, 1977." [8]

Lay-off dates for Faculty Determined

After this crucial and difficult decision was made, three questions arose, "Who will be laid-off?","What are the criteria?",and "How can the Institute comply with the collective agreement of the R.F.A. and The Board of Governors?" There had been no changes in the R.F.A. Agreement regarding redundancy from 1974 to 1977. The procedure for faculty redundancy remained unchanged. The Administration therefore had the following guidelines from the Agreement (Exhibit III), to utilize regarding redundancy of faculty:

Three questions, "Who will be laid-off?", "How to Comply with the Agreement?", and "What are the Criteria?"

This essential document is typed in full as follows. It was the basis for the lay-offs as well as appeals that followed.

EXHIBIT III

AGREEMENT between The Board of Governors, Ryerson Polytechnical Institute and The Ryerson Faculty Association July 1, 1977.

"Article III

F. Faculty Reductions

1. The first duty of the Institute is to ensure that its academic priorities remain paramount, particularly in regard to the quality of learning. When faced with financial constraints, the Institute must ensure the primacy of its educational functions. It is recognized that any personnel reductions in the Institute would be a measure of last resort in solving budget difficulties.

Faculty Reduction Section of the 1977 Agreement is explained in detail

2. Should Faculty reduction be necessary for any reason, every effort will be made to assign regular Faculty members to other teaching duties in the Institute. In such instances, seniority and ability shall be prime considerations. Consideration will be given to retraining of Faculty members to adapt them to an available position within the Institute.

3. The Institute will utilize where possible normal retirements, voluntary early retirements, and leaves of absence to ameliorate the effects of redundancy.

Seniority and Ability only criteria listed

4. Situations of faculty redundancy shall be identified by the Vice-President in consultation

with the Deans. The Dean of a division, in which a redundancy has been identified, shall notify all faculty within his division of that situation. A committee shall be struck immediately, consisting of the Dean of the division, the Chairman of the department affected, and the President of the Association. This Committee will seek to establish employment opportunities to offset the effect of departmental redundancy following the principles that faculty members should be allocated the teaching loads that are taught, or are planned to be taught, by other than regular or probationary faculty members, and that faculty members should be considered for available non-teaching positions in the Institute. The following sequence of priorities shall be followed:

This Portion of the Agreement was the Policy that the RFA, and the Administration had to comply with in facing Redundancy and lay-offs.

(a) seeking teaching opportunities elsewhere within the department (day and/or evening),

(b) seeking teaching opportunities elsewhere within the division (day and/or evening),

(c) seeking teaching opportunities elsewhere within the Institute (day and/or evening),

(d) seeking non-teaching employment opportunities within the Institute, consistent with regular Institute hiring procedure.

5.
(a) If the Committee in paragraph 4 is successful in finding a potential teaching opportunity outside the affected department, the DAC of the department with the redundancy situation will meet with the DAC of the department in need of expertise and the President of the Association.

(b) If the DACs and the President of the Association agree that the available expertise is adequate for the available teaching load(s), they will recommend to the Deans involved willing and acceptable personnel of the department with the identified redundancy, to teach the available load(s).

Sequence of Priorities in helping Faculty obtain other positions within Ryerson listed

(c) A faculty member who is assigned courses in another department to avoid redundancy will remain a member of his original department, unless transfer is arranged by mutual agreement of the receiving department and the individual faculty member.

A Continuation of the Agreement with complete details regarding transfer, other employment opportunities for teaching positions

(d) If the available expertise is not considered completely adequate for any potential teaching opportunity, the Committee in paragraph 4 will recommend to the Vice-President that a particular person or persons in the affected department undertake retraining during a specified time in a needed area of expertise, at the earliest opportunity. In this case the Institute will make every reasonable effort to facilitate this limited retraining.

6. In the event that the aforementioned efforts do not resolve the redundancy situation, the Chairman of the affected department and Dean will determine which faculty member(s) of the affected department is (are) to be laid-off. The affected member(s) shall be notified as soon as possible, and in no case later than six months before the date of lay-off, which shall be August 31st in all cases.

Recall Procedure for Redundant Faculty Explained and Procedure of Notification of New Teaching Positions

7. Within three years of being laid-off, the former faculty member shall be offered, by registered mail, the first available faculty appointment in his former department in a field in which his expertise can be used. Where more than one faculty member has been laid-off from the department, offers shall be made to former faculty in inverse order of their lay-offs. A reasonable period shall be provided for taking up the offer in order to enable the former faculty member to fulfill his current employment obligations. An offer made to a former faculty member under this paragraph, but refused by him without compelling grounds, extinguishes all rights under the provisions of this paragraph.

8. During the three years following the date of lay-off, a former faculty member shall be notified by registered mail, of all full-time teaching positions which become available in departments other than his former department, and which have not been filled by former faculty entitled to

> these positions under paragraph 7. The former faculty member, should he apply for such a position within 21 days of mailing date, shall be interviewed by the appropriate DAC for the available position. This shall take place before any general advertisement of the position(s) is undertaken." 9

Through discussion with the RFA, the numbers decreased from 20 to 14 persons to be laid-off

As provided in the Ryerson Faculty Association Agreement, the Dean notified the R.F.A. executive of the number of lay-offs being considered in the nursing department. At that time, the meetings with the R.F.A. president led to the reduction in number from twenty to fourteen to take into account the portion of the R.F.A. Agreement that there might be fifteen per cent on academic leave,as well as developmental time in the department at any given time. If fifteen per cent were on leave in 1978, the lay-off number would be fourteen persons.

Then, again two major questions arose,

"Which members would be given lay-off notices?", and "When would the notices be given?"

The question of "When" proved much easier to answer then "Who".

"Who will be laid-off?" "When will lay-offs occur?"

Under the contract agreement, faculty members must be given six months notice. The administrative team concluded that it would be more humane and helpful to give faculty the maximum notice possible, and therefore, when lay-off notices were sent on May 1977, it was more than one full year to the time that the lay-offs would be effective on August 31, 1978.

Identification of Redundant Faculty

Identification of Redundant Faculty a difficult process

The identification of those faculty members to be declared redundant proved to be a long and difficult process for all involved - the faculty members, the administration of Ryerson, the Ryerson Faculty Association and indirectly the students whose curriculum was being implemented by faculty who were worried about the lay-off situation.

The responsibility for the identification of individuals to be laid-off was the Chairperson's of the Department in consultation with the Assistant Chairperson and the Dean of Community Services. According to the Agreement between the R.F.A. and Board of Governors listed in Exhibit I, the prime considerations in a case of redundancy, were "seniority and ability". Neither term was defined in the Agreement.

Seniority and Ability NOT defined in Agreement

"Ability"

The ability criteria was dealt with by the department Chairman's judgement through information available on each persons file. Faculty were asked to update their curriculum vitae.

The Nursing Department was fortunate in this aspect in that fairly good records were available on all faculty members, and their system of inspection of teachers was well organized and their peer evaluation system was beginning to be implemented. This reference data facilitated the decision making process regarding the ability clause.

Reference data used for "Ability"

"Seniority" Factor

The factor of seniority became an increasingly complex issue because of the three groups of faculty in the department. (See Exhibit II)

1. The pre 1973 faculty-the original Ryerson faculty.
2. The transferred faculty from the hospital schools in 1973.
3. The Post-Transfer faculty hired in 1975. (Several of these persons held Masters degrees in Nursing. They were hired in anticipation of a future degree program in nursing at Ryerson).

Seniority a complex issue for Nursing Faculty

A system of relative ranking was devised giving equal consideration to both seniority and ability. The three factors considered in "ability" were teaching effectiveness, professional responsibility, and academic qualifications. This system is summarized in a portion of the following report, Exhibit III, written by the Vice President Academic, explaining how the determination of lay-offs were made. It was written at the time of the first appeals of lay-offs.

179

EXHIBIT IV

"Report (partial) by the Vice President Academic. Describing the Application of Criteria for Seniority and Ability in Nursing Faculty Lay-offs, Ryerson Polytechnical Institute, Spring 1977."

"Criteria for Seniority and Ability"

Explanation of Application of Criteria for Seniority and Ability

An identification of redundancy beyond 38 total Faculty and the sequencing of lay-offs necessitates a Faculty relative ranking. "In such instances seniority and ability shall be prime considerations" Article III-F-2. The Chairman and Dean accordingly selected criteria and assigned numeric ranges to these criteria solely for the purpose of establishing a relative lay-off ranking. These criteria and ranges are as follows in order of scale weighting with a balance between seniority and ability

(a) Ryerson Seniority - Scale Range 0 - 13

joined Ryerson Sept. 75 = 2
joined Ryerson Sept. 74 = 3
joined Ryerson Sept. 73 = 4
joined Ryerson Sept. 72 = 5
joined Ryerson Sept. 71 = 6
etc.

Seniority Scale Developed

This scaling was taken from the April 30/77 Seniority List. Excluding three Faculty who had submitted resignations effective August 31, 1977 and excluding three Faculty designated as academic administrators, Faculty presently have scale points as follows:

	min.	average	max.
total group (49)	2.00	4.54	13.00

(b) Teaching Effectiveness - Scale Range 0 - 6

unsatisfactory = 0 - 1
satisfactory = 2 - 3
very good = 4 - 5
excellent = 6

Faculty were assigned scale points as follows:

	min.	average	max.
original faculty	3.00	4.00	5.00
transferred faculty	2.00	4.10	5.00
recent faculty	2.00	4.28	6.00
total group	2.00	4.10	6.00

Scale Point System Used

(c) Professional Responsibility - Scale Range 0 - 3

unsatisfactory = 0 - 0.5
satisfactory = 1.0 - 1.5
very good = 2.0 - 2.5
excellent = 3.0

Three Criteria Utilized for Ability; including Teaching Effectiveness; Professional Responsibility; Academic Qualifications

Faculty were assigned scale points as follows:

	min.	average	max
original faculty	0.50	1.50	3.00
transferred faculty	1.00	1.48	3.00
recent faculty	0.50	1.78	3.00
total group	0.50	1.53	3.00

(d) Academic Qualifications - Scale Range 0 - 2

diploma	0
partial bassalaureate	0.5
baccalaureate	1.0
partial master	1.5
master	2.0

Faculty presently have scale points as follows:

	min.	average	max.
total group	0.50	1.20	2.00

Numerical Ranking System Applied

Overall scaling for seniority and ability resulted in data as follows:

	min.	average	max.
total group	7.50	11.37	19.00

Two of the criteria (Ryerson seniority and qualifications) are objective in their application to individuals and make up 5.74 points of the overall average. Two of the criteria are subjective (teaching effectiveness and professional responsibility) in their application to individuals and make up 5.63 points of the overall average. Thus objective and subjective criteria were used with almost equal resultant scale weighting.

Subjective and Objective Criteria Applied

The subjective criteria were applied by the Chairman, in full consultation with the senior Assistant Chairman, using all available records, evaluations and responsible unbiased judgment. An indication of the results given above among three groupings of the Faculty members. The responsibility, knowledge and competence to make these judgments clearly rests with the office of the Department Chairman under the direction and review of the Dean.

This overall scaling of the prime considerations of seniority and ability resulted in several groups of Faculty having identical ranks - not surprisingly when all Faculty have at least satisfactory ability and when 36 have identical Ryerson seniority. Therefore within each group having the same total scale rank for seniority and ability, length of service at the individual's former Hospital School was used as supplementary seniority to differentiate among the individuals in each rank group. Where the group included Faculty with only Ryerson Service, these Faculty were assigned no supplementary seniority and ranked lowest in that group.

Resultant lay-off list of 14 persons developed

The foregoing determination of "seniority and ability" established the 35 Faculty (plus 3 academic administrators) NOT subject to redundancy and established the lay-off sequence for 14 Faculty.[10]

Thus, a resultant lay-off list of fourteen persons in sequence of potential recall to the department was drawn up utilizing the relative ranking system. Some were tenured faculty. Several were probationary faculty. Several probationary faculty were not included.

Some Faculty were Tenured and Several were probationary who were laid-off

A Period of Great Anxiety for Faculty

During the period the administration made the review and developed the lay-off list proved to be extremely anxiety producing for the faculty in the Nursing Department. Each person felt her job was in jeopardy. No one understood clearly how the administration was applying the ability and seniority criteria in a practical manner. Faculty was not aware of the relative ranking scale. The Dean of Community Service, who stated on several occasions that the decision for lay-offs and his responsibility for notifying faculty, was the most difficult task he ever handled, had planned that the faculty would have input into how to develop the criteria for assessment, but he quickly learned that faculty would not do so.

Suddenly, a department staffed with individuals who were known for their team work, team teaching, colleagiality and caring attitudes begin to feel

A time of great Anxiety for Faculty

confused and afraid. Distrust began to prevail in the Department; also the waiting period was painful.

Lay-off Notices delivered May, 1978

The date for lay-off notices to be sent was May 6, 1978. The letters were delivered by courier to each individuals home. These fourteen persons learned they had just been the first faculty to ever be declared redundant in the Ontario University System and they would no longer have a job at R.P.I. after August 31, 1978. One individual who felt great relief at 10:30 p.m. because she had not received a lay-off notice, went to bed and was awakened at 11:00 p.m. by the courier delivering her letter of lay-off.

A Transition Period

A Transition Period for Redundant Faculty Deciding what to do

After the initial shock to those laid-off and the instant relief to those who were not, came a short period of groping and assessing what to do. Those who were laid-off had feelings of hurt, anger, and disbelief as they faced the problems of how to deal with the situation. For some, the notice meant the possible end or change of a career, financial loss, disruption in home life, as well as the loss of self-esteem. Facing what to do with one's life in mid-career and difficult economic times was not easy. To their peers in the department who had not been laid-off, there was relief and happiness, coupled with concern, and in some cases, guilt over not being laid-off when some of their friends were.

Relationships among many colleagues became strained as each person dealt with the situation in her own personal way.

A time of Stress, Anxiety, Worry for Nursing Faculty

It was also a trying time for everyone in the department, because for a time, faculty did not know who had been laid-off. Notices of lay-offs had been hand delivered by courier to people's homes. Therefore, only through the "grapevine" did faculty learn who was on the list and who was not on the list.

Appeal Procedure Began

In early June, the fourteen individuals who received notice mobilized themselves as a group to take the appropriate steps spelled out in the R.F.A. Agreement to appeal the lay-offs. According to the relevant Agreement, the appeals process consisted of the following steps:

Beginning of Appeals

EXHIBIT V "Article on Appeals" AGREEMENT, 1977.

"C. PROCEDURE FOR REGULAR FACULTY

1. Within ten regular working days, not including holidays and vacation periods for the aggrieved Faculty member, of the cause for the appeal the problem will be stated in writing in quintuplicate. One copy will be sent to each of: President, President of the Association, Chairman of the Association Appeals Committee, and the Secreatry of the Board. The ten-day period referred to in this section will commence at the time of referral of the matter to the Vice-President as required in Section B of this Article.

2. Within fourteen calendar days of receipt of the written statement of appeal the two Presidents shall appoint jointly an Intermediary.

3. Within thirty calendar days of his appointment the Intermediary shall receive submissions from both parties, and shall begin to consult informally and without the presence of legal counsel with all interested parties in order to ascertain all relevant facts. The Intermediary shall determine his own procedures to ensure that both parties have full opportunity to present their cases.

Details of Appeals Procedure at Ryerson

4. As expeditiously as possible the Intermediary sha-l present his findings in writing to the two Presidents, with copies to: the Faculty member, the Association, and the Secretary of the Board.

5. Within fourteen calendar days of the receipt of the Intermediary's report the Association shall meet with the President or his nominee to attempt to work out a settlement.

6. If, within fourteen calendar days of the first meeting between the President and the Association no satisfactory settlement is reached the President

shall make recommendation to the Board for action.

7. At its next ensuing regular meeting the Board shall act in the matter, and shall notify in writing the President, the Association, and the Faculty member of its decision.

Steps in Appeal Process Delineated

8. Upon receipt of such notification of the Board's decision the Association, if dissatisfied, shall so inform in writing the Secretary of the Board. Proceedings for Arbitration shall be taken forthwith by joint application in writing to the Minister.

9. Within twenty-one calendar days of the above notification the Minister shall be asked to appoint an Arbitrator acceptable to both parties.

Redundant Faculty Utilized This Appeals Procedure

10. In cases involving dismissal, if the Arbitrator's award is not rendered before the end of the six-month termination notice period, the aggrieved Faculty member's pay and benefits shall continue until the award is made.

11. In cases involving financial penalty the penalty shall not be applied until the Arbitrator's award is made.

12. Any costs incurred in the above procedures shall be shared equally by the Association and the Board.

13. By mutual agreement any of the above time limitations may be extended.

14. The decision of the Arbitrator shall be final and binding on both parties. "[11]

The R.F.A. took up the group appeal on the basis that each individual had the right to be assured that the redundancy was in agreement with the R.F.A. Contract. Initially the R.F.A. was very concerned with;

RFA took up the Appeal on behalf of the Nursing Faculty

1) retention of some probationary faculty, while a large number of regular faculty members were laid off.

2) the seniority list in that some probationary faculty hired in 1973 were placed ahead of transferring faculty.

3) the application of the seniority/ability principle that appeared arbitrary.[12]

It was obvious the R.F.A. felt there was a potential inequity of those who were laid off. The seniority resulting from the transferred faculty was a major fact in the dispute. During this time there was even disagreement between the R.F.A. executive regarding the original written Agreement, 1974, relating to transferring faculty and the "spirit" of the agreement regarding the protection of original Ryerson faculty, and transferred faculty in 1973. Also, there was concern about the numerical ranking system used to assess seniority and ability. Finally the R.F.A. came to the conclusion that seniority had NOT been dealt with in a way that was understood in Appendix D of the Agreement. (See Exhibit III)

A Potential Inequity to those Laid-off.

During this time the faculty members declared redundant, as well as others, had many questions regarding the decisions that had been made. Some of the queries in people's mind included:

> "What were the criteria used for ability and seniority?"
>
> "How were the criteria for judging ability applied?" (Faculty members did not see the relative ranking system until the appeals were in process.
>
> "Was seniority and ranking systems used equitable for transferring faculty from other schools?"
>
> "Were probationary faculty treated differently from regular faculty?"

Questions Faculty had regarding decisions of redundancy

"After a series of meetings the Administrations' decisions were defended as explained in the following report."[13]

> Report (partial) by Vice President Academic, Ryerson Polytechnical Institute, Spring, 1977.
>
> "It is my opinion that the criteria, techniques and judgment used to establish a redundancy ranking in terms of seniority and ability are a sound expression of the requirements and the intent of the Agreement, and that these criteria, techniques and judgment were applied fairly and equitably.
>
> The Agreement Article III, Clause F - Faculty Reductions, is silent on any matters of relationship between "seniority" and "ability". It also is silent on any matter of relationship between "probationary" and "regular" members of Faculty.

Administration's decisions explained regarding seniority and ability

> Appendix D of the Agreement respecting Transferring Nursing Faculty contains the clause "in the case of redundancy in the Nursing Department, all Nursing Faculty (i.e. Transferring Faculty and Ryerson Campus Faculty) who had probationary status as of September 1, 1973, shall have their position protected with respect to subsequently appointed Probationary Faculty in the Nursing Department."
>
> All of the present Nursing Faculty who had probationary status as of September 1, 1973 now have regular status and therefore now have their "position protected" to the same extent as all regular members of Faculty at Ryerson. That is, they have (a) recognition of satisfactory performance, (b) accumulated seniority, and (c) the appeal rights of regular Faculty. Therefore, it is my opinion that the above quoted clause of Appendix D no longer is relevant in deliniating special protection for certain designated probationary Faculty in a Department that in September 1973 was predominately staffed with probationary Faculty.
>
> It is noted that scaling factors used in the determination of redundancy ranking provide a minimum of 2 scale points "advantage" to those Faculty who were probationary on September 1, 1973 compared with those Faculty who are probationary as of the present. It is my opinion that this has provided significant differentiation between probationary and regular Faculty. Any greater emphasis would distort the balance previously noted between seniority and ability."[13]

Explanation of the attempt to balance the Seniority and Ability Criteria

During this time there were many other reports, memos, discussions and disagreements between the faculty members, the R.F.A. and the Administration. Soon it became apparent that all the usual methods were not successful, and the R.F.A. appealed, as a final measure, directly to the President of the Institute.

All usual methods not successful

Appeal to the President

On June 21, 1977, the R.F.A. president laid a formal appeal to the President of the Institute. In the letter to the President (in accordance with Article III of the Agreement) of the Institute, the President of the R.F.A. stated:

An Appeal to the President

> "We do understand that it may be necessary to reduce the number of nursing faculty due to reduction in the number of nursing students as ordered by the

> Ministry of Colleges and Universities. However, we feel that Ryerson's acceptance of direct interference in the affairs of the Institute by the Government of Ontario sets a very bad precedent for University-Government relationship.
>
> We feel the Chairman of Nursing Department and Dean of Community Services have not applied the terms and conditions of the article III-F-2 in a fair and proper manner for the identification of individuals to be laid off. We question the criteria used for the determination of ability, and the application of seniority/ability to establish a rank-order for the nursing faculty. Furthermore, terms and conditions of Special Provisions for Transferring Faculty with respect to article III have not adhered to." 14

Explanation of Appeal Directly to the President

The President's Response

The President responded through a series of meetings with the Executive members of the R.F.A., the Vice-President Academic and the Dean of Community Services. The Chairperson presented data at the meetings, but was not involved in all of them. As a result of the discussions, the President changed the list! Four faculty were removed from the list and four names were added to lay-off list! All four were probationary.

The President Changed the List

The President described his decision in the following letter to nursing faculty, Vice President Academic, Dean of Community Services, Chairperson of Department and President of Ryerson Faculty Association.

> "As you are aware, Executive Members of the Faculty Association, the Vice-President Academic, the Dean of Community Services and I have been meeting over the past number of weeks to discuss the appeal of the decisions of the administration regarding your lay-off from the Nursing Department. May I say that every effort has been made by the above members of the Ryerson community to ensure that the qualities of equity and justice surround the decisions which have had to be made. It was a long and time-consuming process and the advice of those who participated has been of immense value. As a result of these discussions I am changing parts of the decisions respecting lay-offs of nursing faculty as they were outlined in the memorandum of the Vice-President Academic dated June 17, 1977.

Explanation of the President's Decision

You will know already that the Faculty Association supported the appeal of certain nurses who had received lay-off notices, but recognised that there was an undeniable case for reducing to thirty-eight the number of Nursing Department faculty in view of the Ministry's reduction in Nursing student in-take over the past two years. Your appeal therefore had to be not whether there should be lay-offs, but whether the administration had interpreted and implemented the collective agreement in both its letter and its spirit. Your R.F.A. representatives indicated general approval of the thoughtful, careful and just process which had been applied--but there was some difference on one or two points of interpretation. The Faculty Association was able to bring to the attention of the administration certain expectations which had been assumed to be part of the agreement when nurses were transferred to Ryerson from the three participating hospital schools.

Redundancy upheld

Difference in Interpretation of the Collective Agreement caused Disagreement

The main issue revolved around the matter of seniority and the manner in which pre-Ryerson experience would be treated within the specific provisions of the Agreement. There is support for a number of ways of determining the weight that this previous experience should be given when making decisions on who has to be laid off when "seniority and ability shall be prime considerations". In the course of the discussions, it became apparent that the spirit of the agreement did seem to lean in the direction of a greater recognition for length of service at former Hospital Schools without affecting the recognition given to purely Ryerson seniority.

Main issue Revolved around Seniority of pre 1973 and Transferred Faculty

There was a long discussion around the problem of determining the criteria for assessing "ability". There was concensus that it would be impossible to discover a completely objective assessment of teaching effectiveness but that the Chairperson, and her assistant had made a thorough, fair, and equitable assessment from the documentation at hand and had encouraged faculty to add documentation and information where appropriate. Further it was clear that professional responsibility and contribution to the work of the Department also must be given weight in view of the particular methodology practised in the Nursing Department.

Assessment on "Ability" Upheld

> As well, there was concensus that, though it is extremely difficult to equate academic qualifications on an objective scale, that, once again, the Department Chairperson and her assistant had carried out this task with care and thought as equitably as possible.
>
> Another area of discussion and concern was the relative weighting given to 'ability' vis-a-vis 'seniority'. At the conclusion, the group reached a common understanding on the weighting that would be appropriate.
>
> The effect of accepting the justice of giving greater weight to the seniority of faculty of those who brought previous experience to Ryerson and a consequent slight adjustment in the relative weighting between 'seniority' and 'ability' has led to a change in the list of those who will be laid-off August 31, 1978 and in the order of recall of the entire group of Nursing faculty now subject to lay-off." 15

Greater Weighting given to Seniority

Adjustment in relative Weighting between Seniority and Ability

The letter continued with the names of persons added to and deleted from the list. In conclusion the President acknowledged the inadequacy of the "process for dealing with redundancy" as he stated:

> "It is a very difficult responsibility that we now must write to another four members of the nursing faculty and inform them that they cannot expect employment at Ryerson Polytechnical Institute after August 31, 1978, in order to give recognition to the interpretive issues you and the Faculty Association have raised.
>
> It was the view of those who participated in these discussions that the process set out in the collective agreement for determining redundancy is not one which serves adequately the human needs of affected faculty or the morale of the affected department. This matter will be addressed in the weeks ahead in the event that potential redundancy ever should arise again, even though the present process is the only one applicable to the current Nursing situation." 16

Ryerson's Process Inadequate for Handling Redundancy

Response of Faculty

Mixed Reaction to President's Decision

The reaction to the President's decision was varied. Some individuals felt relieved, some felt betrayed and some felt pleased with the decision. Some persons felt the entire situation had become such a "fiasco" that they didn't know what to do or who to believe.

For example, one faculty member whose name was on the original lay-off list, had been called back on recall due to the resignation of another faculty member. She was included in the list of lay-offs by the President, when he changed the list. The President was unaware of her recall. She, in a period of only a few weeks, was laid-off, hired and re-laid-off again. This person also had a health problem which was aggravated by this. Can one imagine the personal stress and devastation, this could have caused the individual. Many persons felt the entire process of lists and changing lists was only a manifestation of the inadequacey of the Institute to deal effectively with redundancy as far as human lives were concerned.

A Further Appeal

An Appeal to the Board of Governor's by Several Nursing Faculty

Three individuals on the second list (the revised list) further appealed formally to the Board of Governors Appeals Committee. (Note - this step has since been deleted in the appeals procedure). They expressed the following concerns.

a) seniority ranking was not equitable for transferring faculty who had regular or probationary status as of September 1, 1973.

b) it had been unclear to the faculty how the criteria for judging ability was applied.

c) considerations of seniority and ability NOT properly applied.[17]

Their appeal was heard by the Board. In the appearance before the Board, the R.F.A., on behalf of these three appellants stated that the Association:

1) "Accepted that lay-offs were inevitable in the Nursing Department.

2) Accepted that seniority had been properly assessed.

3) Accepted that the criteria used for ability in that department was acceptable.

4) Accepted the balance of seniority and ability.

5) Accepted the individuals challenge of the application of the ability criteria."[18]

During this special appeals before the Board, the matter was referred back to the President for advice. On June 6, 1978, in a letter from the Executive Committee of the R.F.A. to the Chairman of the Board, he acknowledged that these three appeals had been withdrawn and no further action would be taken by the individuals.

Further Appeals Withdrawn

Final Change in Lay-off Numbers

During this process of appeal, personal changes resulted in several individual lives and although fourteen were on lay-off list, two resigned to accept new positions, and two transferred to different departments, so that ten was the final number for lay-off on August 31, 1978.

Change in Numbers from 14 to 10 due to Personal Reasons

The final ten on the second lay-off list did not further appeal the actions of the President. The reason there were no further appeals probably, were in a great part due to the action initiated by the President of the Institute following the original lay-off notices.

Development of the Faculty - Re-Employment Program

In this long agonizing discussion, and upon the advice of the President, in collaboration with the R.F.A., The Board of Governors, instituted a "Personnel Re-Employment Program in April, 1978." The Board's action to start this process appeared to help resolve the dispute in the lay-off process. Although initially the Board approved the program in principle, as a desirable objective of the Institute and on an interim basis, applied to the ten nursing faculty who were redundant, it is now Institute policy for all full time faculty and staff.

Development of Faculty Re-employment Program

In determining the costs of the program four factors were utilized:

1. the numbers of employees given notice of lay-off.
2. the employee's length of service
3. the employee's salary level
4. the employee's choice between full program participation or a separation allowance.

In the case of the nursing faculty lay-off, the total cost was estimated from about $40,000 to a maximum of $80,000. Further costs of adopting the program would not exceed $60,000 per year and would not exceed $20,000 in 1978/79.

Cost of the Program

This original re-employment program applied to the nursing faculty, was initiated to help facilitate internal transfers, encourage voluntary arrangements for reduced work, reduced salary employment and encourage early retirement. The program principles are listed in Exhibit VI as follows:

EXHIBIT VI

" PERSONNEL RE-EMPLOYMENT PROGRAM"

1. From the notice date to the lay-off date, it is expected that the employee will be assigned to and will carry out normal work responsibilities.

2. Prior to the lay-off date, subject to Institute approval, the employee may arrange for an employment separation (equivalent to resignation) that supersedes lay-off and re-call provisions but provides the employee with a separation allowance equal to one-half month's salary per year of Ryerson service up to a maximum of six month's dalary.

Explanation of the Program

3. On the lay-off date, the employee will be transferred from his/her normal Departmental employment, but may continue for a limited time period as an Institute employee through participation in a Personnel Re-Employment Program.

4. The time period for Program participation elegibility would be not less than one month and not more than thirty-six months (the maximum period for re-call elegibility). While participating in the Program, the employee will be:

Time Period of Program

(a) entitled to a total Program compensation (salary and benefits) equal to a continuation of the compensation rate at the lay-off date for one month per year of Ryerson service up to a maximum of twelve months. This total Program compensation normally would be prorated over a Program participation period equal to one month per year of Ryerson service; by mutual agreement to facilitate formal re-training activity, the total Program compensation may be pro-rated over a period up to thirty-six months

(b) eligible for preferential consideration for transfer to any open regular position in the Institute for which the individual may be qualified or could become qualified within six months in the position. Salary for such a position transfer would be within the position's salary range but at a level normal for position incumbents having Ryerson service equal to that of the transferring individual

Preferential Consideration for open Regular Positions at Ryerson

(c) expected to participate actively in seeking external re-employment through and with the assistance of available counselling and employment services both within the Institute and external to the Institute. Active participation may include formal education for a changed occupation; such formal education at the Institute would be tuition-free

Expectations of the Participants in the Program

(d) expected to carry out occasional work assignments for which the individual is competent

5. A participant in the Program may initiate separation from the Program and the Institute at any time in which case the employee will be entitled to a separation allowance equal to one-half of the then remaining amount of the total Program compensation.

6. The Personnel Re-Employment Program will be administered under the direction of a President's Committee composed of the Vice President Academic, the Director of Personnel, and one regular Faculty member appointed by the R.F.A. for Faculty personnel, and a President's Committee composed of the Vice President Administration, the Director of Personnel, and one regular Staff member appointed in consultation with the R.F.A."[19]

Participants may initiate separation at any time and be entitled to separation allowance

The way in which the Nursing Faculty utilized the Re-Employment Program is summarized in Exhibit VII.

EXHIBIT VII

	Program Particip.	Separation Allowance	Normal Period	Longer Period
Faculty #1	X			11 months
2	X			8 months
3	RECALLED			
4		X 2 1/2 mo.		
5	X			10 months
6	X to Sept.31	X 2 months		
7	X		5 months	
8	X			9 months
9	X		5 months	
10	X		4 months	

Redundant
Nursing
Faculty
Utilized
the
Program

Thus, a conclusion to the facts of the Case. The following section of this Case Study deals with the human elements in redundancy.

The Human Elements

The real magnitude of the redundancy problem however, was the impact on human beings lives and the stress this situation caused to everyone involved especially the individual faculty members whose lives were completely disrupted and changed, and the administration who were trying to be as compassionate as possible, as they made very difficult decisions.

Redundancy and the Impact on Human Lives

According to the President of the Institute,"The quality of human lives", was and still is the real issue in redundancy.[20] The amount of stress, individual and as a group, turmoil, distrust, physical illness and descreased self-esteem can not be described in policy or words. Nor can the effect on individuals known for their teamwork, be ascertained when they were pitted against each other for job survival. Also the strength, courage and resiliency of each of the fourteen faculty members involved, can not be described properly in a Case Study.

Overall, the whole process showed that Ryerson did not have an adequate mechanism and process established to deal with a redundancy situation in such a manner as to protect the integrity and professionalism of each individual person involved. The emotions and attitudes during this enormously stressful time put everyone involved in an unbelievable predicament and no one had proper experience on training to be prepared for coping with it. The human and emotional stress can not be underestimated.

Inadequate Mechanism at Ryerson to deal adequately with Redundancy

A Follow-up Questionnaire

In preparing this case study, a questionnaire was developed to provide follow-up data about the Nursing Faculty who were laid-off and to learn of their responses regarding the lay-off situation. In the questionnaire there is some specific focus on the human elements including feelings and attitudes resulting from the lay-off situation. It should be noted that a questionnaire was not sent to the Administrators who made or implemented the decision, or to the R.F.A. executive who handled the appeals, or to the 35 faculty who were not laid-off, or to the nursing students in the program who may have felt the repercussions of lay-offs in an indirect way. Therefore, the questionnaire deals only with one constituency of many involved in the lay-offs. Only those whose jobs were lost were sent the questionnaire.

Follow-up Data of Faculty

A follow-up study of the effect that lay-offs had on all persons involved would probably be helpful to provide a more evenly balanced picture of the effect that the lay-offs have had on many individual's lives.

Continuing Feelings Regarding Lay-offs.

It should also be noted that several persons involved in the lay-offs still find it difficult or impossible to talk about the situation. Perhaps this is symptomatic of the deep residual feelings of many who had to cope with a most difficult predicament and who were not prepared adequately to do so, or who never had the opportunity to resolve their feelings about the situation. In addition, several persons became upset while reading the draft of the Case Study and began to re-experience the negative feelings they had during the lay-off process.

Wide Range of Emotional Responses

The range of emotional response from the faculty who were laid-off was wide and varied. It is obvious that there are still strong emotions on many sides. There are still many levels of concern and a multiplicity of feelings and responses. Because of the nature of some of the feedback to the questionnaire, including the varied emotional responses and strong criticism of some of the constituencies involved, as well as a desire on the author's part to maintain integrity and confidentiality of all concerned, portions of the questionnaire have been deleted or edited for the purposes of presentation at the seminar. An attempt has been made, however to provide an overview of the continuing concerns described by those who answered the questionnaire, but a the same time to deal with the responses in the best way possible for everyone involved.

The questionnaire was sent to the ten individuals who were laid-off. (See Appendix C for the questionnaire and letter sent to faculty.) Six completed the questionnaire.

Response to the Questionnaire

Four of the six who responded are currently involved in nursing in some capacity whether teaching or staff nursing, either full-time or part-time. Those not in nursing are continuing their education or working in a new field. Several responded that they work as nurses only occasionally.

Four persons specifically added notes that although they wanted to answer the questions, they did not want to be identified in their responses, because of possible repercussions or difficulty later in getting references, or in being recalled.

Changes as a Result of Lay-off

In answer to the question "Were there changes caused in your personal and professional life as a result of the lay-off?", respondents repeatedly used words such as loss of self-esteem, loss of confidence, stress in all phases of life, (work and home), and financial difficulties due to decreased income. Other varied responses to this question included words or phrases explaining feelings of self-incrimination and personal inadequacy to the undeserved feelings of stigma attached to being laid-off.

One major concern of the respondents was the way the lay-off notices were handled. Notices were delivered by taxi courier and each person had to sign for the letter, and when they did so, they saw all the names on the list. Words and phrases like impersonal, non-caring, lack of confidentiality, violation of privacy were used to describe this concern.

Concern of Respondents Summarized

Another major concern of those laid-off evolved around the procedure utilized in determining lay-offs. Several felt that the procedure was implemented with incomplete data, others responded that a point system was not valid, and words like unbiased judgements, unfair procedure, favouritism, no real criteria were mentioned. There was also concern by several that the faculty should have been given an opportunity to find alternative solutions. Words as, "reduced teaching load, early retirement" were listed.

The response to the procedure utilized varied from being considered fair, unfair and as fair as possible under the circumstances.

Some of the personal feelings the respondents described during the lay-off process included words or phrases such as vulnerable, angry, personal discomfort, stress, inadequacy, self doubt, pain and pressure. Responses to other academics involved in the procedure included words like supportive, empathetic and kind to unfair, anger, and negative feelings.

A present concern for those who responded is related to the recall procedures of redundant faculty. Several questioned how the policy is being implemented and expressed concerns such as policy not being implemented as stated in the Agreement in the recall of faculty.

Advice for Academic Administrators

Some of the advice the lay-off faculty would give to Academic Administrators who may have to handle other lay-offs of Academic staff included having more pre-planning of the entire process, giving less power to a few persons, have more faculty input, have an outside party to adjudicate lay-offs, use pre-established criteria, and be humanistic, flexible and fair.

Changes As A Result of Redundancy at Ryerson

Changes as a Result of Redundancy

There have been several changes that have occured as a result of the process the individuals experienced and the Institute during the procedure of lay-off's in the Nursing Department. These are as follows:

There has been some rewording of the process of dealing with redundancy in the AGREEMENT, 1978 between the R.F.A. and the Board of Governors. In this agreement the R.F.A. hoped that the "kind of impact that occured in the Nursing department would never be experienced by another department".[22] The new provisions provide that the majority of a given department would remain secure and confident in their position when redundancy is declared. The faculty members being considered by lay-off would not exceed twice the number of redundant positions. Only these persons would be eligible for lay-off consideration. Thus, the majority of the department and the student's programs would continue with no ill effect on the learning enviornment. (See Appendix B).

Changes in The Agreement

The re-employment program has been extended,not only to members of the R.F.A. but also to the academic services community at Ryerson. At least one person is presently involved in this program.

Other Changes Indirectly Related

The formal appeal process involving a Committee of the Board of Governors to hear appeals has been deleted. In effect, when an appeal reaches the President of the Institute, he will receive an "opinion" from an independent mediator and then the President will formally consider the appeal and then it goes to external arbritation.

Other changes that have occured indirectly as an effect of redundancy includes the Institution's realization of the need for Instructional and Educational Development, the necessity for course evaluation, the reduction of teaching hours, and the necessity of looking at better utilization of human resources.

Continuing Issues

Unresolved Issues Regarding Redundancy

There are also several unresolved issues at Ryerson regarding redundancy. These issues remain a continuing perplexity and must be dealt with in some manner. Some of these issues are posed as questions for the participants in the Seminar on "Manpower Flexibility".

1. Is the assumption that with redundancy the Institute must reduce faculty (as Ryerson did) a valid one?
2. Can the issue of ability and seniority be resolved satisfactorily?
3. Is a weighting and point system a realistic way to determine seniority and ability?
4. How can disruption of a department's functioning be minimized when faced with redundancy?
5. Can professional skills and expertise be transferred to other departments within the university system?
6. Are costly retraining programs realistic?
7. Are these retraining and re-employment programs just a panacea to cover the real issues?
8. What are the most important issues in redundancy that the Institution must cope with? What is the main responsibility of the Institute in redundancy?
9. Can institutions co-operate in terms of retrenchment?
10. What mechanisms and processes should be developed to see the universities through this period of retrenchment?

11. Should responsibility for redundancy be provincial wide with an integrated network for faculty exchange and training? Should the government be responsible for problems arising from redundancy, enrollment and policy changes.

12. How can the stressful effects of redundancy on human lives (academic administrators and faculty) be decreased?

Questions to Consider

13. What is the responsibility of Educational Institutions on "the livlihood of the persons" involved in redundancy?

14. How can academic administrators be assisted to deal with the emotional factors that redundancy causes?

Thus, concludes the Case Study of lay-offs and redundancy of faculty in the Nursing Department at Ryerson Polytechnical Institute.

Conclusion of the Case Study

201

FOOTNOTES

1. Quote from Report from the Chairman of the Board of Governors and President of Ryerson Polytechnical Institute in Annual Report (condensed) 1978-79. Taken from the Ontario Council of University Affair's Report: "The Ontario University System: A statement of Issues," September 1978.

2. The historical material on Ryerson was extracted and adopted from the following Ryerson publications.

   "An Introduction to Ryerson Polytechnical Institute."

   "This is Ryerson".

   "Ryerson Polytechnical Institute" Calendar, 1979-80 Published by the Registrar's Office.

3. Allen, Moyra & Mary Reidy. Learning to Nurse: The First Five Years of the Ryerson Nursing Program. The Registered Nurse's Association of Ontario, 1971.p.1.

4. AGREEMENT Between the Board of Governors, Ryerson Polytechnical Institute and Ryerson Faculty Association July 1974, pp.22 & 23.

5. AGREEMENT Between the Board of Governors, Ryerson Polytechnical Institute and Ryerson Faculty Association July 1974, p.6.

6. "Report of the Nursing Task Force" at Ryerson Polytechnical Institute, January 1974

7. Nursing Program Description, Community Service Division, Ryerson Polytechnical Institute Catalogue, 1974, p.135

8. Memorandum from Vice President Academic to the Dean of Community Services, Spring,1977.

9. AGREEMENT Between the Board of Governors, Ryerson Polytechnical Institute and the Ryerson Faculty Association, July 1, 1977, pp. 7 & 8.

10. Report (partial) by the Vice President Academic. Describing the Application of Criteria for Seniority and Ability in Nursing Faculty Lay-offs, Ryerson Polytechnical Institute, Spring 1977.

11. AGREEMENT Between The Board of Governors Ryerson Polytechnical Institute and The Ryerson Faculty Association July 1, 1977, p.15.

12. Ryerson Faculty Association Letter, from President of Ryerson Faculty Association to Vice President Academic, June 3, 1977.

13. Report (partial) by Vice President Academic, Ryerson Polytechnical Institute, Spring, 1977.

14. Letter (partial) from President of Ryerson Faculty Association the The President of Ryerson Polytechnical Institute, June 21, 1977.

15. Letter from the President of Ryerson Polytechnical Institute to Nursing Faculty, September 14, 1977, pp.1 & 2.

16. Ibid. p.3.

17. Interview with the President of the Ryerson Faculty Association, Ryerson Polytechnical Institute, October, 1979.

18. Ibid

19. Personal Re-Employment Program Presented to the Board of Governors, Ryerson Polytechnical Institute, March, 1978.

20. Interview with the President, Ryerson Polytechnical Institute, October, 1979.

21. Questionnaire. Prepared by Lou Lewis, Centre for Instructional Development; Revised by Larry Gray, Chairman, Psychology Department, Ike Morgulis, Director, Centre for Instructional Development and Walter Pitman, President, Ryerson Polytechnical Institute.

22. Interview with the President of Ryerson Faculty Association, October, 1979.

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"Pol-y-tech-nic", The Ryerson Review, Summer, 1978, p.14

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APPENDIX A

"Faculty Reductions", AGREEMENT, Between The Board of Governors
Ryerson Polytechnical Institute and
The Ryerson Faculty Association, July 1, 1978.

"FACULTY REDUCTIONS

1. The first duty of the Institute is to ensure that its academic priorities remain paramount, particularly in regard to the quality of learning. When faced with financial constraints, the Institute must ensure the primacy of its educational function.s It is recognized that any personnal reductions in the Institute would be a measure of last resort in solving budget difficulties.

2. Should Faculty reduction be necessary for any reason, every effort will be made to assign regular Faculty members to other teaching duties in the Institute. In such instances seniority and ability shall be the sole criteria. Furthermore, consideration will be given to retraining of Faculty members to adapt them to an available position within the Institute.

3. The Institute will utilize where possible normal retirements, voluntary early retirements, voluntary reduced workloads, and leaves of absence to ameliorate the effects of redundancy.

4. Situations and degree of faculty redundancy shall be identified by the Vice-President in consultation with the Deans. The Dean of a division, in which a redundancy has been identified, shall notify all faculty within his division of that situation. A Redundancy Identification and Amelioration Committee (R.I.A.C.) shall be struck immediately, consisting of the Dean of the division, the Chairman of the department affected, and the President of the Association. The R.I.A.C. will seek to establish employment opportunities to offset the effect of departmental redundancy following the principles that faculty members should be allocated the teaching loads that are taught, or are planned to be taught, by other than regular or probationary faculty members, and that faculty members should be considered for available non-teaching positions in the Institute. The following sequence of priorities shall be followed:

(a) seeking teaching opportunities wlsewhere within the department (day and/or evening),

(b) seeking teaching opportunities elsewhere within the division (day and/or evening),

(c) seeking teaching opportunities elsewhere within the Institute (day and/or evening),

(d) seeking non-teaching employment opportunities within the Institute, consistent with regular Institute hiring procedure.

5.
(a) If the R.I.A.C. is successful in finding a potential teaching opportunity outside the affected department, the DAC of the department with the redundancy situation will meet with the DAC of the department in need of extertise and the President of the Association.

(b) i) If the DACs and the President of the Association agree that the available expertise is adequate for the available teaching load(s) they will recomment, to the Deans involved, willing and acceptable personnel of the department with the identified redundancy, to teach the available load(s).

ii) If the available expertise is not considered completely adequate for any potential teaching opportunity, the R.I.A.C. will recommend to the Vice President that a particular person or persons in the affected department undertake retraining during a specified time in a needed area of expertise, at the earliest opportunity. In this case the Institute will make every reasonable effort to facilitate this limited retraining.

(c) A faculty member who is assigned courses in another department to avoid redundancy will remain a member of his original department, unless permanent transfer is arranged by written mutual agreement of the receiving department and the individual faculty member. In the latter circumstance, should the receiving department at some future date be faced with a redundancy situation of its own, the aforementioned faculty member's seniority within the receiving department shall be interpreted as commencing from the date on which the permanent transfer became effective. Should the result be an identification of the faculty member as redundant within his new department, that is the receiving department, then he will be transferred back to his original department with a seniority equal to his original seniority plus the additional amount developed while within the receiving department.

6. In the event that the aforementioned efforts do not resolve the redundancy situation, and where the curricular teaching requirements have been provided for, and where a department or an area of specialization is faced with a

lay-off situation:

(a) The Chairman and the Dean will determine on the basis solely of seniority and ability which faculty members are to be laid off. For this determination seniority and ability shall weigh equally.

(b) The faculty members who may be considered for lay-off shall be those with lesser seniority in the department and the total number under consideration shall not exceed twice the number of redundant positions.

(c) If a faculty member who has expertise in an area of specialization taught by the department where no other faculty member is capable of teaching such an area of specialization, and no other faculty member can be trained within a reasonable time for teaching that discipline, then such a faculty member may not be considered for lay-off. A written rationale for such a situation shall be reported to the Redundancy Review Board (RRB) - see 6(d).

(d) As soon as a proposed redundancy list is completed it will be reviewed by the RRB consisting of three regular faculty members, none of whom are members of the R.I.A.C. The RRB shall consist of an appointee of the Vice-President and an appointee of the RFA Executive, who in turn will name a mutually acceptable third appointee to chair the RRB. Furthermore, one of the three aforementioned appointees shall usually be a member of the department involved. The RRB will follow an established procedure in evaluation the recommendations of the Chairman and Dean. On completion of the review, the RRB will issue a confidential report to the Chairman and Dean. The RRB will so provide a copy of the report to the President, Vice-President, and the Association President.

(e) After due consideration of the R.R.B. report, the Dean will notify, as soon as possible and in no case later than six months before the date of lay-off the affected faculty member(s) of his/their lay-off status and the options open to such Faculty member(s). The lay-off date shall be August 31 in all cases.

7. From the date of notice to the date of lay-off the Faculty member shall retain his status as a regular Faculty member unless he voluntarily arranges an employment separation. On the separation date:

(a) He will receive a separation allowance equal to one-half month's salary per year of service to a maximum of six month's salary.

(b) he will waive all rights of participation in the Faculty Re-employment Program, and

(c) he will retain his right of recall (Article III F9 and 10) and his right of Appeal (Article VII).

8. If the Faculty member has not exercised his right of voluntary separation (7 above) by the lay-off date, or in the case of an appeal extending beyond the lay-off date, within seven days of the confirmation of the lay-off, then on the appropriate date he shall either:

(a) accept employment separation in accordance with paragraph 7, or

(b) enter the Faculty Re-Employment Program (Appendix E).

9. Within three years of being laid-off the Faculty member shall be offered by registered mail the first available faculty appointment in his previous department in a field in which his expertise can be used. Where more than one faculty member has been laid-off from the department, offers shall be made to faculty in inverse order of their lay-offs. A reasonable period shall be provided for taking up the offer in order to enable the faculty member to fulfill his current employment obligations. An offer made to a faculty member under this paragraph, but refused by him without compelling grounds, extinguishes all rights under the provisions of this paragraph.

10. During the three years following the date of lay-off, the Faculty member shall be notified by registered mail, of all teaching positions which become available in departments other than his former department, and which have not been filled by Faculty entitled to these positions under paragraph 9. The Faculty member, should he apply for such a position within 21 days of mailing date, shall be interviewed by the appropriate DAC for the available position. This shall take place before any general advertisement of the position(s) is/are undertaken.

11. Within three years of the date of lay-off a Faculty member may apply to the Director Personnel to be notified of any non-teaching vacancy for which he is qualified, or could become qualified within twelve months on the job. Should he apply for such a position he will be subject to the usual hiring practices of the Institute, and he

will be considered along with internal candidates for the position, having due regard for the promotion expectations of others within the department, but before outside advertisement is undertaken. Should he be accepted in the position his salary would be within the position's salary range at a level normal for position incumbents having Ryerson service equal to that of the redundant Faculty member.

Pages 7 to 10.

"APPENDIX B"

"FACULTY RE-EMPLOYMENT PROGRAM"

"1. It is agreed that the Institute will establish and fund a faculty re-employment program for redundant faculty.

2. A redundant faculty member, who agrees to join the re-employment program, will be transferred from his normal department to this program on the lay-off date or, in the case of an appeal extending beyong the lay-off date, within seven days after a decision to uphold lay-off is rendered. In so doing, the faculty member will retain his regular faculty status with the Institute.

3. The time period for program participation eligibility would be not less than one month and not more than thirty-six months. While participating in the program, the faculty member will be:

   (a) entitled to a monthly salary equal to his monthly salary on the lay-off date, multipled by the lesser of years of service as a Faculty member ot twelve, divided by the number of months of participation in the program. Notwithstanding the aforementioned, the monthly salary while in the program shall not exceed the individual's monthly salary at the date of lay-off.

   (b) entitled to receive benefit coverage as a regular Faculty member except that salary-related benefite shall be based on the salary as determined in (a) above.

   (c) eligible for preferential consideration over external candidates and consistent with regular Institute hriing procedure for transfer to any open regular position in the Institute for which the individual may be qualified or could become qualified within twelve months in the position. However, should there be conflice with the provisions of Article III F,9,10,11 those provisions shall prevail. Salary for such a position transfer would be within the position's salary range but at a level normal for position incumbents having Ryerson service equal to that of the transferring individual.

(d) expected to participate actively in seeking external re-employment through and with the assistance of available counselling and employment services both within the Institute and external to the Institute. Active participation may include formal education for a changed occupation; such formal education at the Institute would be tuition-free.

(e) expected to carry out occasional work assignments for which the individual is competent.

(f) entitled to his right of recall (Article III F, 9 and 10) and his right of Appeal (Article VII).

4. (a) A Faculty participant in the program may request separation from the program and the Institute at any time. In this case the Faculty member will be entitled to a separation allowance equal to one-half of his monthly salary while on the program multiplied by the number of months remaining within the program.
   (b) In the case of an abbreviated program where the full entitlement is not utilized bevause of the limitation of 3(a) the Faculty member shall receive a separation allowance equal to one-half of the remainder of his entitlement under the Program.

5. A redundant Faculty member who does not participate in the re-employment program is entitled to receive a separation allowance on the lay-off date, or, in the case of an appeal extending beyong the lay-off date, within seven days after a decision to uphold lay-off is rendered. This allowance will be equal to one-half of his monthly salary on the lay-off date multiplied by the lesser of years of service as a Faculty member or twelve.

6. The Faculty re-employment program will be administered under the direction of a President's committee composed of the Vice-President, one person appointed by the Association President, and one person appointed by the President. "

Taken from AGREEMENT, Between The Board of Governors
Ryerson Polytechnical Institute and The
Ryerson Faculty Association, July 1, 1978.
Page 31.

APPENDIX C

September 28, 1979.

Dear

I am writing to ask for your help. Mr. Walter Pitman has asked me to present a Case Study regarding the lay-off situation in Nursing at a seminar to be held at the Ontario Institute for Studies in Education, in November.

The participants in this seminar will be two representatives from each of the sixteen universities. The objectives listed in the brochure for this seminar are:

> To discuss various approaches to problems related to anticipated academic staff redundancy.
>
> To raise, clarify, and discuss issues associated with policy development and implementation.
>
> To establish an informal network of Ontario university individuals currently interested in and/or knowledgeable about manpower flexibility options.

It would be very helpful to me to know what has happened to you, where you are, and what you are doing, as well as your thoughts and feelings in retrospect. Would you please answer the enclosed questionnaire and return to me by Wednesday October 10. The questionaire will be tabulated and I will send you the results before the seminar, upon your request. These results will be presented at the seminar to the Academic Administrators. No names will be given and every effort will be made to maintain confidentiality of the questionnaire.

Thank you for your assistance.

My sincere best wishes to you. I hope to hear from you by October 10.

Lou Lewis
Associate Director

No Name Please

APPENDIX C

QUESTIONNAIRE

1. Are you presently employed full-time in a Nursing position?

Yes __________ No ____________

2. If yes, in what sapacity?

Hospital Nursing (specify please) __________________________

Community Nursing (specify please) __________________________

Teaching Nursing (specify please) __________________________

Other (specify please) ___________________________________

3. If you are not active full-time in the Nursing profession please check the appropriate reason(s) below:

- continuing formal education in Nursing ________________________
- continuing formal education in another professional field __________
- continuing non-credit education courses ________________________
- working part time
  if so in what profession? _____________________________
- unable to find suitable employment ___________________________
- other - please specify ______________________________________

4. Were there changes caused in your personal and professional life as a result of the lay-off? (eg. financial, loss of home, stress, whatever).

5. Various constituencies were involved in the lay-off process. Would you evaluate the quality of the behaviour at that time of each of the following:

	Fair	Unfair	Acceptable Given the Circumstances
President's Office			
Vice President Academic Office			
Dean's Office			
Nursing Department			
Ryerson Faculty Association			
Other (specify)			

If you checked "unfair", please give specifics of what you think should have been done. Use back of paper if necessary.

6. Would you evaluate how you now assess the quality of the behaviour of each of the following:

	Fair	Unfair	Acceptable Given the Circumstances
President's Office			
Vice President Academic Office			
Dean's Office			
Nursing Department			
Ryerson Faculty Association			
Other (specify)			

If you checked "unfair", please give specifics of what you think should have been done. Use back of paper if necessary.

7. What advice would you give to Academic Administrators who may have to handle other lay-offs of Academic Staff?

8. Other comments.

LIST OF EXHIBITS INCLUDED IN CASE STUDY

EXHIBIT I	"Special Provisions for Transferring Faculty".
EXHIBIT II	Nursing Program Enrollment and Staffing Trends
EXHIBIT III	AGREEMENT, 1977, Faculty Reduction Clause.
EXHIBIT IV	Report on Application of Criteria
EXHIBIT V	AGREEMENT, 1977, Appeals Clause.
EXHIBIT VI	Personnel Re-Employment Program
EXHIBIT VII	Nursing Faculty Utilization of Re-Employment Program

EXCHANGES

WESTERN

YORK

OISE

RECOMMENDATIONS ON
ALTERNATIVE CAREER OPPORTUNITIES, RETENTION & DEVELOPMENT OF FACULTY
(ACORD)

prepared by

The Office of the President

and

The University of Western Ontario Faculty Association

18 March 1980

Introduction

Following the publication of the Report of the Presidential Committee on Faculty Development (Pepper Commission), and the review of the report by the Joint Committee of the Administration and the Faculty Association, the Administration and the Faculty Association have agreed to propose jointly to Senate the adoption of the recommendations specified below.

Recommendations

1. Reduced Responsibility Policy

That in order to enable full-time tenured faculty members to alter their existing full-time arrangement with the University, a Reduced Responsibility Policy, as outlined in Appendix A , be adopted.

2. Professor Emeritus Title

That faculty members taking early retirement under the new Early Retirement Compensation Plan be eligible for the privileges awarded to the status of Professor Emeritus on the recommendation of the faculty concerned. That the current procedure for the awarding of the title of Professor Emeritus be applicable to the above faculty members. The policy relating to the privileges and title of Professor Emeritus for persons who retire under the new Early Retirement Compensation Plan will be reviewed in three years.

3. Full-Time Administrative & Counselling Staff Positions

That a faculty member electing to accept a full-time administrative or counselling staff position within the University be permitted a period of up to two years during which he/she would retain his/her tenure. Both faculty and tenure status would, however, be given up at the end of the negotiated transitional period. During this period, the faculty member could indicate in writing to the Vice-President (Academic) on three months' notice that he/she wished to return to the former academic rank and position in the next academic year.

4. Educational Leave - Alternative Training

That in order to provide the opportunity for certain faculty members to build new academic careers based on their experience but qualifying them to function in another academic area or discipline, an educational Leave for Alternative Training Policy, as outlined in Appendix B, be adopted. (1)

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(1) The amended terms of reference of the ADF provide for the funding--where necessary--of replacements for faculty members on leave for alternative training. It is noted that a large number of such requests would exert an undue drain on the ADF, and it is suggested that the number of funded leaves for alternative training be subject to a ceiling to be defined by consultation between the Chairman of the Senate Leave Committee, SUPAD, and the Vice-President (Academic).

5. Sabbatical Leave Remuneration

That the upper limit for total remuneration from salary and external sources be raised to 125% of salary plus travel expenses where justified.

In exception circumstances, a higher figure might be recommended by the Senate Leave Committee and will be subject to the approval of the Vice-President (Academic).

6. Sabbatical Leaves After Three Years

That a six-month sabbatical at 75% salary after three years of service be made available but only a) in exceptional circumstances, b) at the discretion of the Dean and the Vice-President (Academic), and c) for tenured members of the faculty.

7. Exchange Leaves - Policy

That an Exchange Leave Policy, as outlined in Appendix C, be adopted, it being understood that the role of the central administration will be limited to a) negotiation with other institutions, b) annual publication of opportunities if available, and c) facilitating approved exchanges within approved policies or relevant University practices.

8. Exchange Leaves - Funding

That funds for the relocation expenses of faculty members participating in exchange leaves be provided according to existing policy and that a specific budget line be established with its level subject to the salary/benefits negotiation process. The guidelines for the relocation expenses would be contained in the Moving Allowances Policy.

9. Sabbatical Credit

That periods of Educational Leave for Alternative Training and Exchange Leaves be counted toward sabbatical entitlement with the understanding that a faculty member will not normally be permitted to be absent for more than two years in any seven-year period.

10. Leaves - General

That with respect to all types of paid leave, normally a minimum period of two years should elapse between any two successive leave periods but that this period could be modified in individual cases at the discretion of the Senate Leave Committee and subject to the approval of the Vice-President (Academic).

11. Teaching

That the Provost's Advisory Committee on Teaching and Learning:

a) devise some means of recognizing excellence in teaching, possibly in the form of annual teaching awards, and that this recognition be given due weight in promotion and tenure decisions.

b) continue to mount orientation programs for new instructors and graduate teaching assistants and that it also offer special programs for teachers of first-year courses.

c) offer a program of consultation to faculty and teaching assistants since PACTL considers individual consultation to be the best method of improving teaching. Where necessary, release time should be given members of the faculty deeply involved as consultants in such programs.

d) initiate a review of the methods presently in operation for evaluating teaching at Western with a view toward making suggestions for improvement.

12. Alternative Work Loads

That the possibility of individualized work loads for tenured faculty members be accepted as outlined in Appendix D on the understanding that a) only one of teaching, research, administrative/community service may be excluded, and b) some reasonable departmental balance between teaching and research be maintained.

13. Leave of Absence Without Salary

That a revised policy statement on leaves of absence without salary, as outlined in Appendix E, be adopted.

14. The University of Western Ontario Act

Notwithstanding the terms of policies that may be adopted as a result of these recommendations, the Board of Governors will retain the responsibilities assigned to it under The University of Western Ontario Act, Section 21 and may, from time to time, approve special arrangements for individual faculty members.

15. Review

That the Senate review this report and the programs recommended in 1987.

Concluding Notes

This report includes only those major suggestions of the Pepper Commission which both the Administration and the Faculty Association agreed to recommend to Senate. A letter of agreement, as outlined in Appendix F, specifying options and administrative procedures for other items in the Pepper Commission Report is attached for information. A brief overview of the complete recommendations of the Pepper Commission and the responses of the Administration and the Faculty Association is given in Appendix G.

APPENDIX C

Exchange Leave Policy

Policy Statement: An Exchange Leave occurs when a member of the regular full-time faculty participates in an exchange programme with another university. In such instances, the faculty member is replaced by a faculty member from the other university.

Eligibility: All current regular full-time academic staff are eligible to apply.

General Principles:

1. Participants in the exchange programme need not necessarily be from the same discipline.

2. The salaries and benefits of the participants will be the responsibility of their respective universities.

3. Exchange leaves will not normally exceed one full year.

4. To encourage participation in exchange programmes the University will Provide financial assistance, in accordance with existing policy on Moving Allowances, in meeting the relocation costs of participants.

5. Sabbatical leave credit will be earned during this leave subject to the overriding proviso that a faculty member will not be permitted to be absent for more than two years in any seven-year period.

Procedure:

1. Individual faculty members may make application through the chairman (where such exists) to the dean.

2. Such requests should fully document the nature of the exchange, the vita of the other participating faculty member, and the benefits expected from the exchange.

3. Should the dean(s) and chairmen agree to the request, the request will be forwarded to the Vice-President (Academic) for decision. Should the dean(s) and/or chairmen not concur with the application, the applicant may request that the application and the deans' comments and/or recommendation be forwarded to the Vice-President (Academic).

4. Subject to the delegation of authority by the Board of Governors, the final decision will be made by the President, acting upon the advice of the Vice-President (Academic).

5. The decision of the President is final and is not subject to grievance under the Conditions of Appointment.

Note: Participants might be able to coordinate their exchange leaves with the AUCC/CAUT Faculty Exchange Programme.

vacation, payment for which is included in the annual salary.

Holidays

18.02 Employees are entitled to the following holidays: Canada Day (Dominion Day), Civic Holiday, Labour Day, Thanksgiving Day, Christmas Day, Boxing Day, New Year's Day, Good Friday, Victoria Day, and any other day proclaimed as a holiday by the University, or as a statutory holiday by federal or provincial authorities.

18.03 The following days are proclaimed as University holidays in 1980: December 24, 29, 30, 31 and January 2.

Payment and Salaries

18.04 Salaries and administrative stipends are paid to employees in twelve (12) equal instalments, by payment to their bank, credit union, or trust account on the 25th day of each month. When the 25th falls on a Sunday or a Monday holiday, payment is made on the following day. When the 25th falls on a Saturday or a Friday holiday, payment is made on the previous day.

Outside Professional Activities

18.05 The nature of the professional competence of many employees affords opportunities for the exercise of that competence outside the employee's University duties, on both remunerative and non-remunerative bases. Recognizing that such outside professional activities can bring benefits to and enhance the reputation of the

University and the capacities of employees, the Employer agrees that employees have the right to engage in part-time outside activities paid or unpaid, including participation in their Professional Associations and/or Learned Societies, provided that such activities do not interfere with their obligations, duties, and responsibilities to the University, and subject to he following conditions:

(a) Employees shall, upon request, make available to their Dean/ Director of Libraries or designate information on the scope of outside activities of a substantial or continuing nature. When the time commitment to those activities is such as to interfere with fulfilment of his/her teaching, research/scholarly/ creative activities/ service to the University, at a reasonable standard, the individual shall reduce such activities appropriately, or seek a reduced load or leave without pay, or resign.

(b) When an employee's outside activities involve the use of University facilities, supplies, or services, permission for the use of such facilities, supplies, or services, and agreement on appropriate reimbursement therefore shall be obtained in advance by the employee from his/her Dean/Director of Libraries or designate. Costs in excess of the agreed reimbursement shall be borne by the employee on the request of the Employer.

SECONDMENTS OF ACADEMIC STAFF MEMBERS	Policy	
	Date	Page
	January, 1971	1

The Board of Governors has enunciated the following policy with regard to full-time or part-time secondments of academic staff members:

> "THAT in any full-time or part-time secondment from the Institute of an academic staff member, the Director assure the Executive Committee and the Board of Governors:
>
> (a) that the activity being undertaken allowed for the personal growth and development of the individual;
>
> (b) that the objectives of the Institute are not jeopardized in any way by the activity undertaken;
>
> (c) that provision has been made for the Institute to receive full value for the proportion of the individual's time to be served at the Institute."

LEAVE OF ABSENCE WITHOUT PAY – ALL STAFF

Policy	
Date	Page
May 25, 1972	1 of 2
Oct. '75/Feb.'76	
April 1976	
Jan. 1, 1978	

A. SHORT TERM (Less than three months)

1. Purpose

Short term leave of absence without pay may be approved upon recommendation by the Unit Head for personal reasons such as extended vacation, extended maternity leave, personal business and so forth.

2. Eligible Applicants

Any staff member holding a regular, part-time or full-time appointment is eligible to apply.

3. Duration of Leave

A short term leave of absence may be granted for any period up to three months.

4. Conditions of Leave

(a) *For absence up to one month* – There will be no change in benefits or participation.

(b) *For absence over one month and less than three months.*
  - (i) Membership in the Institute Pension Plan shall be suspended for the period of leave.
  - (ii) Membership in the Institute Group Life, Extended Health, Dental, Long Term Disability plans, and OHIP will be continued at full cost to the employee.
  - (iii) Vacation and sick leave credits will not be earned during the period of absence.

5. Internal Procedure

Applications shall be made in writing to the Unit Head, and if recommended, the request shall be made by the Unit Head to Personnel on a Personnel Change Report.

B. LONG TERM (More than three months)

1. Purpose

Leave of absence without pay may be approved by the Board of Governors only when the activity for which leave is requested is seen as serving the interests of the Institute as well as those of the applicant, as determined by the Director. Leave without pay must be requested to engage in any explicitly temporary activity so judged.

2. Eligible Applicants

Any staff member holding a regular appointment, part time or full time is eligible to apply for leave of absence without pay. Applicants who hold cross-appointments, academic or administrative, must specify the appointment(s) from which leave is sought.

LEAVE OF ABSENCE WITHOUT PAY – ALL STAFF	Policy	
	Date	Page
	May 25, 1972 Oct.'75/Feb.'76 April 1976	2

3. **Duration of Leave**

A leave of absence without pay may be granted for any period of time up to one year's duration. Leave of absence without pay beyond one year will not be normally granted, but in unusual circumstances may be approved by the Director.

4. **Conditions of Leave**

(a) There shall be no automatic penalty or benefit, in terms of salary or promotion, attached to receipt of leave of absence without pay, each case being considered on its merits, in consultation with the unit head concerned.

(b) Membership in the pension plan shall be suspended for any period for which a staff member is on leave of absence without pay. Subject to approval by the Insurer membership in the group life, health and long term disability plans may be continued by arrangement with the Personnel Office and provided that the applicant agrees to pay the full cost of such coverage, including that portion of the cost normally paid by the Institute. Staff members proceeding on authorized Institute leave should note that group insurance will not be continued except on express application through the Personnel Office and confirmation by the carrier. The Institute insurance carriers require that, except in exceptional circumstances, applications for continuation of insurance during leave must be received at least one month prior to the date of commencement of the leave. Exceptions to the stipulations in this section in cases of leave of absence for maternity purposes or because of disability or political involvement are contained respectively in the Institute Maternity Leave Policy (pages C3–10), the Institute Sick Leave Policy (page C3–7) and Political Candidacy (page A1-2).

(c) The applicant shall promise to return at the end of the period of unpaid leave of absence, and the unit head will make every effort to place him/her in the same or an equivalent position.

(d) As an obligation of courtesy, a staff member shall communicate with his/her unit head approximately three months before expiry date reconfirming his/her intent to return upon the agree date.

5. **Internal Procedure**

(a) Internal procedure will be that the staff member applies to the unit head (chairmen or other administrative appointees apply to the Assistant Director or appropriate coordinator), stating leave commencement and expiry dates, the intent to return, and an explicit statement of the nature of the activity in which he/she will be engaged during the period. The applicant must also indicate whether or not continued insurance coverage as described in 4(b) is requested.

(b) Application is forwarded to the Director along with the recommendation of the head, supported where necessary by evidence of "due process" within the unit according to current guidelines policy if applicable.

227

(c) If recommended by the Director, the application will be forward to the Board for final approval.

OTHER

TRENT

WESTERN (2)

TRENT POLICY

UNPAID LEAVES: BENEFITS AND REPLACEMENTS

On the recommendation of the Senate of Trent University, the Board of Governors recognizes two types of unpaid leaves from the University and the University personnel policy with respect to benefits and replacements in each case is as follows:

1. Unpaid Academic Leave of Absence

   Members taking such a leave

   a. will receive full benefits* for a period of up to two years;

   b. the year(s) will count as year(s) of service, and the right to an incremental step will continue (top up to two years as in a.); and

   c. the individual on leave will normally be replaced

   * This is interpreted to include sabbatical leave credits, and, in those cases in which the individual has no regular salary from another source while on leave, the university will pay 100% of pension, life insurance, medical and dental plan contributions.

   If the individual is to receive regular salary from another source while on leave, the percentage of these contributions to be met by the university will be decided by the Director of Personnel Service working in consultation with COAP.

2. Unpaid Non-academic Leave of Absence (except in the case of illness and/or pregnancy which is covered separately under existing policies).

   Members taking such a leave

   a. will receive full benefits as defined above for a period of up to two years, exept that no sabbatical credits will accrue*;

   b. the year(s) will not count as year(s) of service, and the right to an incremental step will not continue (for up to two years as in a.); and

   c. the individual on leave will normally be replaced.

   * It is anticipated that a non-academic leave of absence will normally involve regular salary from another source, so that arrangements will be required for reduced university contributions.

   The distinction made between types 1 and 2 above lies in the reson for and nature of the leave. The relevant bodies (Department, COAP, Dean of Arts and Science) will determine in which category a particular individual's leave application falls. C.O.A.P may, on application before the fact, recommend special approval for an extension of benefits and increments beyond the two years cited in 1a, 1b, 2a.

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That the Provost's Advisory Committee on Teaching and Learning:

a) devise some means of recognizing excellence in teaching, possibly in the form of annual teaching awards, and that this recognition be given due weight in promotion and tenure decisions.

b) continue to mount orientation programs for new instructors and graduate teaching assistants and that it also offer special programs for teachers of first-year courses.

c) offer a program of consultation to faculty and teaching assistants since PACTL considers individual consultation to be the best method of improving teaching. Where necessary, release time should be given members of the faculty deeply involved as consultants in such programs.

d) initiate a review of the methods presently in operation for evaluating teaching at Western with a view toward making suggestions for improvement.

12. Alternative Work Loads

That the possibility of individualized work loads for tenured faculty members be accepted as outlined in Appendix D on the understanding that a) only one of teaching, research, administrative/community service may be excluded, and b) some reasonable departmental balance between teaching and research be maintained.

13. Leave of Absence Without Salary

That a revised policy statement on leaves of absence without salary, as outlined in Appendix E, be adopted.

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APPENDIX D

Contracting for Alternative Work Loads

Policy Statement: Alterations in the emphasis of the work load of a faculty member, but not in its overall magnitude, may occur to permit moderate deviations from the usual expectations for full-time faculty members for a specified time period.

Eligibility: All tenured academic staff are eligible to apply.

General Principles:

1. Only one of teaching, research or administrative duties may be excluded from the contract.
2. Some reasonable departmental balance between teaching and research should be maintained.
3. No arrangement will be considered complete until a document outlining the details of the contract has been prepared and signed.
4. Faculty members with alternative work load arrangements will be evaluated in the light of their revised responsibilities.

Procedure:

1. Individual faculty members may make application through the chairman (where such exists) to the dean.
2. Such requests should fully document the reasons for the alternative work load contract, the time period governing the contract, the duties of the faculty member during that period, and the method of weighting the faculty member's evaluations for merit based on these special arrangements.
3. Should the dean (and chairman) agree to the request, the request will be forwarded to the Vice-President (Academic).

   Should the dean (and/or chairman) not concur with the application, the applicant may request that the application and the dean's comments and/or recommendation be forwarded to the Vice-President (Academic).
4. Subject to delegation of authority by the Board of Governors, the final decision will be made by the President, acting upon the advice of the Vice-President (Academic).
5. The decision of the President is final and is not subject to grievance under the Conditions of Appointment.

APPENDIX E

Leave of Absence Without Salary

Policy Statement: A Leave of Absence without salary may occur at the request of a faculty member.

Eligibility: All current regular full-time academic staff are eligible to apply.

General Principles:

1. Leave will normally not exceed one year. Requests for extensions of leave must be received at least six months prior to the end of the leave, and generally the total continuous leave will not exceed three years.

2. No salary will be received during the approved leave.

3. The participant may elect to pay benefits and pension during the period of leave, but the University will not contribute towards the costs of said benefits and premiums.

4. No sabbatical leave credit is earned during the leave period.

5. Although, in some cases, some progress relative to the evaluation for promotion and tenure may not be expected, if favourable progress in research and/or in publication is accomplished during the leave period, such progress may be considered as supporting evidence when a participant is considered for promotion and/or tenure.

Procedure:

1. Individual faculty members may make application through the chairman (where such exists) to the dean.

2. Such requests should document the objectives of the leave.

3. Should the dean (and chairman) agree to the request, the request will be forwarded to the Vice-President (Academic).

4. Subject to delegation of authority by the Board of Governors, the final decision will be made by the President, acting upon the advice of the Vice-President (Academic).

5. The decision of the President is final and is not subject to grievance under the Conditions of Appointment.

SUPPLEMENTARY MATERIAL

September 7, 1979

Review Article on Academia in Transition from A Canadian Perspective

by Max von Zur-Muehlen

A few months ago, a book was published in the United States, which has a great deal of relevance to the present and future Canadian university scene. Since the experiences of the United States often precede developments in Canada, the trends outlined have a bearing on the Canadian university community.

Academia in Transition: Mid-Career Change or Early Retirement (published by Abt Books, 55 Wheeler St., Cambridge, Mass 02138. $19.50 (U.S.)) by Carl V. Patton is an examination of these two dimensions of university life in the United States, which are assuming greater importance. In the sixties and early seventies the "faculty realized professional gains: social prestige, greater job mobility, more self-regulation, and greater influence in academic governance".[1] But with declining enrolment, the situation has changed:

> There seems little cause for optimism given... the hard facts about prospects for higher education. More imporantly, however, faculty gloom seems to result from the dissonance in their lives between their expectations for their academic careers and their actual career paths. For most academics, higher education no longer promises the excitement of prestigious careers, rapid advancement, and professional prerogatives that it did through the 1960s.[2]

Since literature on early retirement and career change is limited in Canada, this study is mandatory reading. But it is a pioneering venture, and as such should be regarded only as a beginning for comprehensive analysis, and an indication of the need for further empirical investigations. Patton's study itself is primarily based on questionnaires and interviews between 1976 and 1977, and a more recent review of the literature.

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[1] Shulman, Carol Herrnstadt. "Old Expectations, New Realities: The Academic Profession Revisited". American Association for Higher Education: Washington, D.C., 1979, p. 45.

[2] Ibid, p. 46.

On the subject of early retirement, Academia in Transition provides an overview of the options available at American universities, and comparative information from the private and public sectors. Patton stresses the need for financial incentives to create an environment for early retirement, and describes experiments with various schemes.

A possibility, which according to the author has a great deal of merit, is severance payment to encourage outward mobility. "In that way, at least, the total cost of the extra payment is known in advance" (p. 47).

He also suggests that those who retire early might be given opportunities for part-time employment, and some of the benefits associated with faculty appointment, such as library and parking privileges.

One of the primary reasons for encouraging early retirement is rejuvenation of the faculty as older members leave and are replaced by young Ph.D.'s. However, Patton admits that ultimately "incentive early retirement would have a limited effect on the age structure of academia" (p. 116).

As Patton observes in a more recent paper:

> When the first group is induced to retire earlier than planned, an increase in the retirement rate is naturally experienced. However, after this initial group of persons is retired, and even if the inducements are continued and encourage the same proportion of persons to retire earlier than planned, the overall retirement rate will return to approximately the pre-incentive plan level as persons who would have contributed to the overall retirement rate are not around to do so because they were induced to retire early.[3]

Equally troublesome is the question "...Given the proper incentives, will the least productive and most disaffected academics agree to retire early?" (p. 81). In a number of instances, however, high hopes for early retirement programs have not materialized, because costs and barriers were formidable.

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[3] Patton, Carl V. "Institutional Responses to the Mandatory Retirement Age" prepared for the Forty-third Annual Meeting of the Midwest Economics Association, Chicago, Illinois, April 6, 1979. See also David D. Palmer's "Faculty Responses to Higher Mandatory Retirement Age: Which Faculty Members Will Stay?" prepared for the same meeting.

Nonetheless, for the individual, early retirement may be a happy outcome. Patton reports, "98% of the early retirees said they were either satisfied or very satisfied with their decision..." (p. 64).

Patton's discussion of mid-career change in academia seems less comprehensive because of the newness of the subject and the fragility of the data. He analyses the factors that cause American university faculty to change careers in mid-life, but confines himself only to those programs that have been implemented for currently employed academics. Others, however, are now underway or planned: the proposed program funded by the National Science Foundation for "young scientists" who have been unable to obtain a research appointment, and programs already developed with support from the National Endowment for the Humanities to retrain Ph.D.'s for alternative employment, primarily in the private sector. Although the evidence outlined in Academia in Transition is fragmentary, the author also regards the retraining of faculty for other disciplines or specialties as desirable. He suggests that "such retraining programs do give institutions the flexibility to reallocate resources to more productive use" (p. 25).

Four major university systems in the United States (State University of Florida, the Pennsylvania State Colleges System, State University of New York and the University of Wisconsin) have had retraining programs for faculty in departments with declining enrolments.

For Canada, this book provides several working hypotheses, and demonstrates the need to document the case. Such an undertaking would not be as formidable as it seems, since the number of universities involved would be small compared with the United States.

But in some ways, Canada's situation is more urgent, because demographic trends combined with student preferences are producing an imbalance in the supply and composition of university teachers. Demand for their services is limited in some disciplines, while others still have growth potential. The anticipated 21% decline of the source population (18-24-year-olds) and the shifting composition of the student body make early retirement or mid-career change desirable and necessary options for some arts and science faculty for the 1980s.

Recent American legislation cited by Patton is of particular interest. In 1978 the Age Discrimination in Employment Act of 1967 was amended to extend the mandatory retirement age from 65 to 70 in private industry and nonfederal public employment, and to remove it completely for federal employees, but tenured faculty are exempted until 1982. Although he touches on the implications of the revision to the Act, a fuller treatment would have been desirable. If Canadian universities, which have standardized formal retirement at 65, follow the U.S. example, it might prolong the careers of some faculty in the future, and consequently, create fewer openings. On the whole, Canadian university faculty tend to be younger than their American counterparts: whereas 26.5% at U.S. universities are older than 50, the comparable proportion in Canada is 18.8%. Only an estimated annual 0.7% of the 32,500 full-time university teachers will reach mandatory retirement in the next five years. Expressed in absolute numbers, there will be, on the average, only 250 positions created through retirement each year, and about the same number on account of mortality. Meanwhile enrolment might continue to drop. A recent report by the Ontario Council on University Affairs speculated that if enrolment declines by 25%, this could mean that 2,500 from the 12,000 full-time university teachers might become redundant within the next five years in Ontario alone. Thus, should present trends continue, attrition of senior faculty through retirement will not be sufficient to successfully adjust to the projected student population of the 1980s.

The early retirement of Canadian faculty is a possibility that should be explored, but retraining may be a more useful alternative. The shift of student preferences has been more abrupt in Canada than in the United States. Students are increasingly oriented toward professional and career programs. Through secondment or other means, arts and science faculty might be reorientated to teach in professional programs where there is a future demand. In fact, many who are now teaching career-oriented disciplines had their graduate education in the humanities, social sciences and sciences. This transformation could be accomplished, as suggested in Academia in Transition, through liberal leave arrangements, possibly supplemented by special workshops, either during the summer or during the academic year, and might be facilitated by government support.

Since many university teachers can take sabbatical leave after six years, more than 4,500 full-time faculty are eligible each year. Professor Patton has suggested that the retraining of faculty will require a system-wide approach rather than action by individual universities.

In developing mid-career change programs, another strategy could be tried: to encourage faculty to spend some of their working lives in jobs outside of academia, in the government and private sector, under special leave arrangements. Such a program might enhance the outward mobility of faculty, which under present labour market conditions, has been immensely reduced. This not only has serious consequences for the individual, but also for the vitality of the university community.

Suggestions of this sort, however, do not resolve the related issue of employment opportunities for recent Ph.D. graduates and those who will graduate in the next few years. Traditionally they have sought appointments at universities. But most observers agree that the outlook for new faculty employment is discouraging; only the dimensions of the problem are at issue. Surprisingly, though, the majority of Ph.D. graduates still perceive university teaching as their goal.

Academia in Transition originated in 1977 from the National Science Foundation, and was published in a different format by the National Technical Information Service, U.S. Department of Commerce, and that might be reflected in the technicality of some of the chapters. Apt Books published its version in 1979.

It is basically confined to the American experiences without any mention of international studies. Although each chapter has separate notes, a bibliography at the end would have been helpful. But these are minor quibbles.

Academia in Transition is a timely and informative discussion that provides the perspective necessary to address some of the critical issues Canadian universities are facing.

Canadian Journal of Higher Education
Vol. 9. No. 3. 1979

James S. Small - University of Alberta

Notes and Comments – Notes et Commentaires

ACADEMIC CAREERS IN A TIME OF RECESSION

This paper examines assumptions about academic staffing in Canadian universities in the light of the unusual circumstances brought about by the combined effects of the expansionist sixties and the depressed seventies, and raises issues in six critical areas which should be addressed by the higher education community.

The statistical context has been documented by Max von Zur-Muehlen (1977) in a paper prepared for The Science Council, which highlights the expected decline of population from 1982 to 1992 in selected age ranges corresponding to the traditional age of college attendance. On top of this the large numbers of new appointments in the 1960s, combined with the low rate of turnover of staff in the '70s has resulted in a relatively young, "tenured-in", faculty.

No significant relief is envisioned until the end of the century when a wave of retirements is anticipated (Kerr, 1977), along with an upturn in student enrolment. These phenomena are not peculiar to Canada (Duckenfield, 1976), but are apparently more extreme here than in other countries (Zur-Muehlen, 1977, p. 15).

Several undesirable consequences have been associated with the circumstances outlined above: a distortion in the normal age distribution as the faculty grows progressively older (Zur-Muehlen, 1977), inflated salary costs (Woodcock, 1975), staffing inflexibilities (Bundig, 1975), loss of vitality (Kenny, 1977), diminished creativity (Atkinson, 1976, p. 17), career blockage (Zur-Muehlen, 1977, p. 18), faculty redundancy (Stoddart, 1977), and the denial of reasonable access to university positions for a generation of potential academics (Zur-Muehlen, 1977, p. 37). Given these assertions practices in the area of academic staffing, which have served universities well in the past, but which may be inappropriate for today's conditions, require re-examination.

Assumptions about Staffing

The "traditional" staffing assumption which is reflected in salary scales, academic rank, pension plans, sabbatical leaves and tenure can be summed up as follows:

> The interests of the institution are best served by a stable body of satisfied academics, who are tied to the institution by loyalty, seniority and conditions of work.

This assumption was valid in the 1960's and early 1970's, as a countervailing force, when career opportunities were more plentiful, and the beginning professor could anticipate a career which would see him serve in a variety of roles, institutions, and agencies. Career risks could be taken with a fair degree of assurance that should things not work out alternatives would still be available from which to choose, including a return to a previous position. Careers could be pursued one step at a time with frequent new challenges to provide intellectural stimulation. The interests of the institution also were served to some extent by staff mobility, since young or experienced scholars could be recruited to fill vacancies according to the changing needs of the institution, provided that suitable persons were available. The competition for staff as a scarce commodity, and the need for a degree of continuity in staffing, were in fact, the primary forces shaping the traditional assumption.

Now that different employment circumstances characterized by inflexibility prevail, new policies may be needed in order to encourage staff mobility.

An alternative staffing assumption which could give rise to such policies might be that:

> the interests of the institution are best served by a fluid professoriate whose mobility potential is enhanced by conditions of appointment.

A simple model helps to focus on some implications of this statement. Figure 1 depicts a professional staff resource flow into and out of the faculty pool of an institution.

Input to the pool of resident faculty is primarily by new appointees, and also by staff returning from leaves and secondments, and by personnel entering under secondment arrangements. At the same time the pool is diminished by deaths or retirements, resignations, termination of contracts, secondments to outside positions and by special transfers. The pool is enlarged through inflow in excess of outflow, and vice versa. A certain minimum rate of flow is necessary to maintain a "normal" age distribution and to assure institutional flexibility.

However, as Farber (1975) has pointed out, recessionary conditions tend to reduce the motivation to leave, and since natural attrition through death and retirement will provide insufficient outflow until the end of the century the implication is clear that mid-career alternatives are needed to stimulate outflow during the intervening years. Figure 1 suggests areas in which staffing policies might be developed with this need in mind. These are discussed in the next section.

Mid-Career Alternatives

None of the options which are discussed here are new, but to the present little interest has been shown in them, in terms of their feasibility and desirability as career routes, worthy of development.

Early retirement. The retiring professor faces three losses – income, academic stimulation and institutional support, and gains a measure of independence and flexibility. For many professors retirement comes at a productive phase in their career; for others it is a welcome respite from their labours. A better understanding of conditions faced by retiring professors, their perceptions of retirement, and of institutional supports which would enhance satisfaction and productivity is needed. Conditions under which early retirement would be attractive need to be discovered.

Special positions. A special position might be used as a temporary phase between a regular position and retirement, and could complement the professor's special interests or talents. The designation "university scholar" might be used to recognize and encourage scholarship. Other possibilities include teacher consultant, student advisor, governing board member, or special commissioner.

Positions which would be cost items for the institution would not relieve fiscal pressures, but some could be seen as serving broad social purposes, and thereby fundable directly by

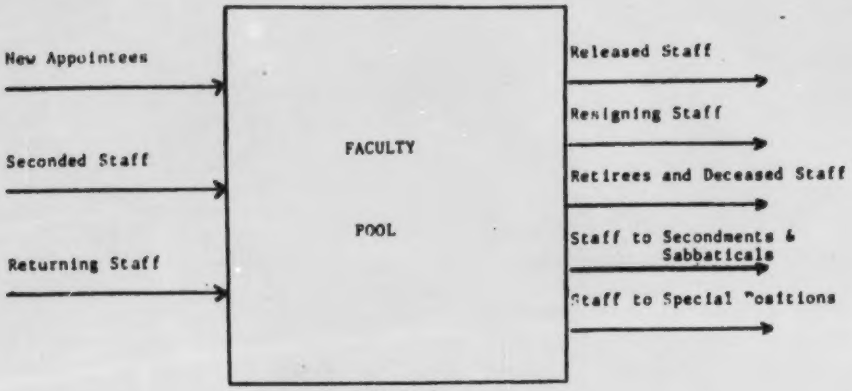
New Appointees
Seconded Staff
Returning Staff
FACULTY
POOL
Released Staff
Resigning Staff
Retirees and Deceased Staff
Staff to Secondments & Sabbaticals
Staff to Special Positions

Figure 1

Staff Resource Flow Model

governments; others might be funded by foundations or private companies.

Sabbaticals and secondments. Sabbatical leaves are much more common than secondments but are usually restricted in length to one academic year or less. They thus offer little hope for rejuvenating the faculty pool. However, to the extent that a leave represents a breaking away from institutional life, inducements could be offered *not* to return, rather than penalties for not returning as at present. In other words, sabbaticals could be viewed more as rewards for service, and as opportunities for exploration of career alternatives, than as investments by the institution for future services rendered.

Extended secondments provide a further example of ways of loosening institutional ties. Policies which would induce a faculty member to seek, or hold, a secondment might be introduced, such as continuing association with the university, by name or in privileges (for example, salary, pension or re-employment rights). Perhaps the security offered could be at the system level (or with Government) rather than with a specific institution. Secondments could be to existing positions or to new or experimental positions such as might be created as a result of a policy decision to open up alternative forms of higher education.

Where secondments are tied to an exchange arrangement, the complementarity of needs must be considered. Seldom is there complete interchangeability of two persons in different work roles; however exchanges could be facilitated through the mediation of an agency, which would maintain a registry and provide administrative support.

Figure 2 illustrates how such a system might work. Institution A provides a faculty member required by institution B, and in exchange receives a faculty member from C. B pays a "credit" (akin to a promissory note) to the agency while C receives such a credit. Credits could possibly be based on salary equivalents. Sending and receiving institutions could include all kinds of agencies, both governmental and private.

Resignations. Sabbaticals and secondments are psychological levers between the tenured professor and his employing institution, and could serve as intermediate steps to an alternative career. Another lever is direct financial compensation which should provide the professor with sufficient motivation and security to take the calculated career risk of resigning.

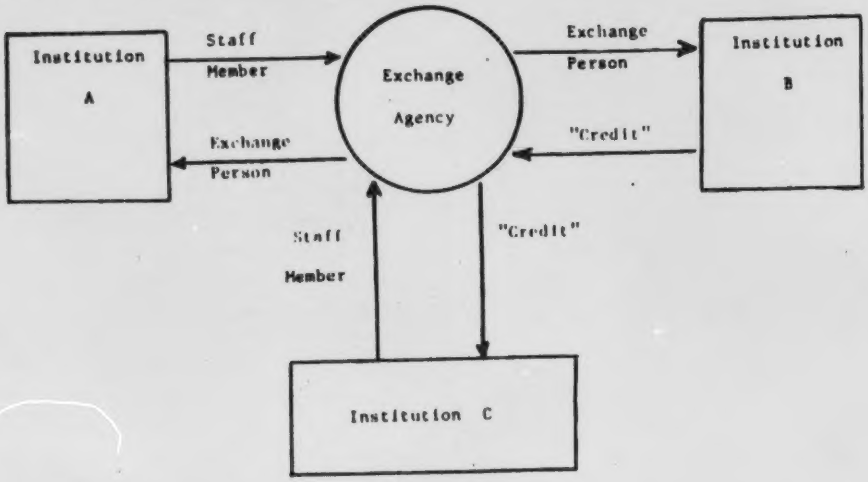

Figure 2

Personnel Exchange System

Issues

Some strategies for personnel administration and career enhancement have been proposed as counteractive measures to certain unfavorable demographic trends in the Canadian professoriate. The intent has been to expose them for examination, not necessarily to advocate their adoption. Six critical issues require the attention of the higher education community:

1. *The significance of the demographic problem.* Are the recessionary forces so formidable and the age distribution of faculty distorted to the extent that our institutions and faculty members are being adversely affected? What are the observable effects and what corrective measures can be developed?

2. *The interests of faculty members.* If action is needed, the measures adopted should be clear and forthright in their intent, and equitous in terms of career interests of tenured professors. What are the views of faculty members concerning career options which could be open to them?

3. *The interests of the institution.* Academic excellence is assured only through a highly qualified and productive faculty. Any staffing model adopted must assure the acquisition and retention of creative and productive scholars. How would placing an emphasis on career alternatives affect staff quality?

4. *The need for objective data.* There is a conspicuous absence of information on such matters as career development patterns and aspirations, career alternatives, career/productivity relationships, career satisfaction, activities during, and outcomes from, sabbaticals and secondments, retirement activities and perceptions, all of which are related to personnel administration and career planning. With more information to back them up, arguments for or against alternative staffing models would have more cogency. How can research into these areas be stimulated?

5. *The locus of responsibility.* Increasingly major adjustments in higher education have resulted from initiatives of government. In the case of an issue so central to the interests of professors, it is desirable that faculty associations working through institutions, perhaps in collaboration with government, adopt a proactive rather than a reactive posture. What actions can be taken to offset the likelihood of imposed "solutions"?

6. *The source of funds.* The money required to investigate and/or implement any of the above proposals could be appropriately viewed as an investment in the future. Government agencies and private foundations may be willing to fund research activities, conferences and other enquiries. An agency could be established by Government to facilitate exchanges and secondments and to promote career mobility. It is unlikely, however, that provincial governments will act in the absence of a strong case backed by sound fiscal data. How can a case which will capture the attention of political decision-makers be developed?

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Footnotes

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41 THE CHRONICLE OF HIGHER EDUCATION

May 28, 1974

Helping Professors (and Therefore Students) to Grow

A dedicated, exciting faculty is needed—not contentious cynics and spiritual zombies

POINT OF VIEW

By Stephen K. Bailey

1 COLLEGES AND UNIVERSITIES tend to be incubators of anxiety for most professionals who work in and for them. "Sicklied o'er with the pale cast of thought" is more than a Shakespearean aphorism. It is an endemic academic tendency that, unless constantly fought and dispersed, casts a dark mist upon the groves of academe. This mist is, I am sure, unevenly spread over particular institutions, departments, and areas of the country. But with new tensions created by tight budgets, internal governance struggles, and affirmative-action mandates, the mist of the moment is all but ubiquitous.

So many pictures, old and new, race through my mind:

- I see myself three decades ago sitting helplessly at the typewriter knowing that my Ph.D. dissertation is only half finished, feeling panic as nothing comes to mind as I try to find a beginning for Chapter VI, hating the entire system for forcing me back upon my own immaturity and ignorance.
- I see a 38-year-old colleague in the sciences, outpointed and put down in a department meeting by a junior colleague, sensing that never again would he be respected as a scientist and that the world has passed him by.
- I see a brilliant young humanist whose literary diet led him to view the universe with the jaundiced eye of 20th-century nihilism, and who ended up in his garage with a monoxide hose in his mouth.
- I see a sensitive political theorist, slightly drunk, accosting me in the lobby during an intermission of the Broadway production of *Who's Afraid of Virginia Woolf*, saying, "I bet nine-tenths of this audience thinks this play is pure fantasy; but you and I know better, don't we?"
- I see a sensitive, 50-year-old college-president friend of mine slumped over on his desk, dead from a heart attack provoked by student and faculty bullying.
- I see a brilliant young academic so appalled by the psychic violence and the sophistry of his colleagues that he took off 20 years ago for a Maine fishing village, where he has lived ever since.
- I see endless committee meetings at which trivia are fondled and important issues nibbled to death by contentious and anxiety-ridden colleagues.
- I see young faculty members so hurt or ignored by senior colleagues as to buy the friendship of young students with cheap grades and an involuted sycophancy.
- I see 45-year-olds, tired of teaching the same stuff, lacking the opportunity and the will to become updated, caught in a non-transferable state pension system, sinking slowly into a permanent torpor relieved only by the bottle and somebody else's wife.
- I see eager graduate-student minds stretching to capture the multi-disciplinary richness of a problem, told not to fritter away their time, and to settle for the demands of the departmental system.

THESE are not the only images I have of the world of higher education. If they were, I should have jumped ship years ago. But there is far too much of this negative reality around, and unless we are careful, the anxieties produced by the increased firing of even tenured faculty, and the knowledge that there are no jobs elsewhere, will exacerbate the hostilities and the psychic withdrawals that already exist on too many campuses. The competition for security can make people mean.

During the '60's, when a sellers' market existed for both administrators and faculty, tensions or unhappiness on one campus could be relieved by an easy jump to another position in a different institution. Or, if the life of scholarship and teaching palled, one could aspire to a deanship or a college presidency or a resident directorship of an overseas outpost where the world could be saved with a tropical Collins in hand.

Now these opportunities for psychic relief are more and more difficult to find. Instead, faculties will be tenured-in for longer periods of time; fewer young people will join the staffs and provide the ginger of newness; administrators will see their leadership capabilities frittered away in endless negotiations with anxious and often preemptive faculty committees, union bargainers, trustees, task forces, student caucuses, and state budgeteers; timidity will spread a dull gray Linus blanket of tradition over every aspect of college life; student alienation will become endemic. A vicious cycle will have been created, for public and legislative support will wither, and this will exacerbate the very tendencies that led to public disillusionment in the first place.

This is a possible—some would say a probable—scenario of the future. But it does not have to be. There are ways of turning much of this around.

I do not have an elixir that will soften the necessity in the proximate years ahead of making hard and painful administrative and committee choices, many of which will be devastating to intimate colleagues. What I do want to repair to is this question: Is there a chance that the traumas of diminishing resources, disenchanted consumers, and the seemingly impersonal requirements of imposed quantitative analysis can be mitigated by attention to qualitative changes in the lives of all those associated with institutions of higher education? If we cannot save everyone, can we help those who remain to start growing again—especially faculty members and administrators?

I have a fairly simple theory. It is that what students take away in a positive sense from an institution of higher education is little more than the spillover of excitement and commitment that they observe in the adult models around them. If administrators, professors, and support staffs are made up of contentious cynics and spiritual zombies, students and their financial mentors will develop a notion of the life of the mind that is finally expressed in the phrase, "Who needs it?" If, on the other hand, they find themselves surrounded by human beings who exude dedication and excitement in their own lives, an invaluable role model is created as young people are induced to recognize the possibilities of joy in the options of continuing growth.

How can the juices of growth be stimulated in the adults who staff our colleges and universities? Part of the job belongs to the institution's president.

The great college administrator, in my estimate is one who understands the relationship between helping adult colleagues to grow and helping students to grow. Just as the trustees need to worry about the president's mental and physical health, so he must be concerned with the health of those who share with him the major administrative tasks of managing the university: vice-presidents, provosts, business managers, personnel directors. Administrative sabbaticals; frequent short vacations for those who are impossibly pressed by tension and overwork; early attention to signs of irascibility and neurosis; a word of support and gratitude for a brave and wise decision; even more important, a word of general support along with counsel when a specific matter has been clobbered; involvement of spouses in circumstances and ceremonials that give administrators a brief sense of status and worth; a demonstration of collegiality in the formulation of policies that involve the cooperation of administrators in their implementation; keeping ever alive the possibilities of promotion from within: these are some obvious ways of nurturing the growth of administrators.

A SPECIAL WORD needs to be said about faculty members. The ideal professorial model, I suppose, is someone introspective and disciplined enough to find great psychic satisfaction in the lonely pursuit of new knowledge, someone secure enough to work effectively with others in team research and academic committees, someone gregarious enough to love students, someone articulate enough to do inspired teaching, and someone concerned enough to indulge in a variety of public services. I have known very few of these renaissance types in my life. Most faculty members play one or two of these roles passably. Part of faculty anxiety is that realization of the ideal is so far beyond the reach of most of them. One of the psychic compensations used to be the deference that teachers received from students. Even though this was in part a deference of manners and prudence, it eased some of the hurt in faculty psyches from perceived inadequacies. Much of this has changed. Students are bolder, franker in their criticisms, less frightened by faculty sanctions. Today, they are as often an additional source of threat to faculty egos as they are sustainers of those egos.

How does one grow faculty members, or help them to grow?

One answer might well be to gain faculty support and cooperation in reconsidering the existing system of faculty committees. On many campuses, faculty committees have become metastatic—consuming up to 50 to 60 per cent of a faculty member's time and vitality. Some committees, involving matters of curriculum and certain classes of personnel actions, are indispensable. But committees involving faculty members at multiple points in essentially management decisions on budgets, facilities, and parking spaces, can produce an organizational chamber of horrors. Even if the academic climate is presently unfriendly to a re-rationalization of administrative-faculty prerogatives, encouraging professors to initiate such studies themselves, or raising such issues in terms of possibly favorable trade-offs in contract bargaining, may be of increasing importance if faculty members are to find additional time for themselves and their students.

Second, faculty lives can be freed if faculty members will face up to the desirability of new mixes of pedagogic arrangements and to the imaginative employment of new educational technologies. I commend to them the Carnegie Commission's report, *The Fourth Revolution*, which deals perceptively and creatively with the new technologies. Audio-visual and programmed-learning techniques can be used to stimulate individual student learning while reducing the burden of daily preparation on the teacher.

Third, based on faculty time and institutional money freed by the above, many opportunities can be opened up for enriching the lives of individual faculty members:

- Faculty members can be given temporary load reductions to work on a new course or an important area of research.
- Modular travel grants can be awarded to improve faculty opportunities to move, during a short or long vacation, to another country or to another area of this country in order to refresh and update their knowledge about a particular course or part of an academic field.
- Mini-courses of one or two hours can be encouraged, enabling faculty members to try out new ideas in an experimental setting.
- The concept of the sabbatical can be reinstated and reinforced, recognizing that the knowledge explosion will rock all of us if our learned professionals are not given time to break away from what they are doing on a day-to-day basis.
- Colloquy and conference funds can be protected at all costs—even when the trade-off may be the anguish of another firing.
- Teachers whose subject-matter has become obsolete can be retrained into cognate fields where demand is higher.
- Faculty members can be encouraged to work with the largely untapped market of adult learners—working through non-traditional programs, finding fresh stimuli in a new pedagogic setting while helping the university with new tuition resources.
- Faculty members can refresh their spirits by using some of the time regained by devices suggested earlier for additional contact hours with individual students, many of whom hunger for better counseling and more effective academic guidance.
- Temporary faculty exchanges can be worked out with other institutions, to give tired teachers a new perspective and challenge.

I HAVE ONLY SCRATCHED THE SURFACE. Many of th[illegible] changes can take place in an atmosphere [illegible] decremental budgeting if we ask ourselves basic questions about effective resource allocation and the imaginative use of educational technology; and if we recognize that even when general budgets are squeezed, government agencies and philanthropy are still looking for investment opportunities in human capital. Furthermore, a very few pioneering states like Florida are already setting aside funds from the state's overall higher education budget for staff development purposes.

Everything I have said to this point is ultimately directed, of course, at the welfare and growth of students. I do not know enough to say how to turn on the light of enthusiasm in students by direct action. Many of them today are in a perverse and unsettled mood. And, of course, although students are central, they are also transient. My guess is that we do them our greatest honor and benefit by consciously improving the quality of the institutions they attend: the quality of life of chancellors and presidents, of provosts and deans, of department heads and professors; the quality of academic standards and professional requirements. If we can do this, the great enterprises we represent will continue to flourish even during periods of financial retrenchment.

Stephen K. Bailey is vice-president of the American Council on Education. This article is adapted from an address he made to the Association of Governing Boards.

250

CURRENT ISSUES in Higher Education

CHANGING RETIREMENT POLICIES

Thomas M. Corwin
Peggy Heim
David D. Palmer and Carl V. Patton

251

1978 National Conference Series, American Association for Higher Education

1978 NATIONAL CONFERENCE SERIES

The American Association for Higher Education is a national association open to all individuals concerned with the value and effectiveness of higher education. Each year AAHE's National Conference on Higher Education brings together approximately 3,000 educational administrators, faculty, students, government and foundation officials, representatives from accrediting and testing agencies, and others, to clarify issues, disseminate effective educational practices, and discuss the future of higher education. Presentations delivered at the conference are selected by a review committee for inclusion in an annual series, *Current Issues in Higher Education*.

Papers in this series were prepared for presentation at AAHE's 1978 National Conference on Higher Education and published by AAHE. In some cases they have been revised by their authors and therefore differ somewhat from the actual presentation. They have not, however, been extensively edited or revised, since the purpose of the series is to disseminate as rapidly as possible the conference presentations.

Points of view and opinions reflected in this series are those of the authors, not the Association. Authors' addresses are listed at the end of each paper, so readers may follow up with them on issues of substance and references.

Papers from the 1978 National Conference series may be purchased from AAHE at the prices listed on the back cover. AAHE members automatically receive one copy of each paper in the series.

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CHANGING RETIREMENT POLICIES

Foreword ii
Philip E. Austin

A Research Perspective on Mandatory Retirement 1
Thomas M. Corwin

Implications of Mandatory Retirement Legislation for Institutions of Higher Education 5
Peggy Heim

Faculty Attitudes Toward Early Retirement 13
David D. Palmer and Carl V. Patton

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FOREWORD

Recent changes in federal law regarding mandatory retirement policy will have broad societal implications, and while higher education institutions will not be directly covered until 1982, the educational and financial impacts will likely be felt much earlier. That is, in anticipation of being covered by the law in the future, participants in educational decisionmaking will modify their behavior in the near future in areas such as hiring and tenure decisions, retirement decisions, and faculty pay decisions. Indeed, several national education association leaders, representatives of faculty groups, university and college administrators, and others have begun to distribute papers and hold meetings to discuss the issues and build constituent support for different positions. In addition to these actions, demographic realities suggest potentially significant changes in the size and composition of the postsecondary student population during the next decade. These changes will affect the size and composition of the demand for faculty services, and they will have a large impact on institutional positions on the above and several other related issues.

The outcome of these issues are certainly of interest to most members of AAHE, and it was for that reason that I was invited by the leadership of the Association to define two or three issues in this area that could be subjected to analysis and to form a panel to present the findings at the annual meeting. The three papers contained in this document are the result.

The paper of David Palmer and Carl Patton is based on two independently conducted studies of faculty attitudes toward early retirement. One study focused on attitudes of existing faculty and the other on attitudes of those who recently retired early under incentive early retirement programs.

Thomas Corwin's paper is based on a survey of institutions that was designed to discover the impact of raising the mandatory retirement age on educational institutions and the effects on the employment prospects of new doctoral-degree holders.

In her paper, Peggy Heim considers the impact of new retirement legislation on institutions, with emphasis on financial considerations. Her discussion contains analyses of both the direct and indirect effects, thereby taking account of the attitudes and actions of both faculty members and administrators.

It is hoped that this set of papers will provide the basis for an informed discussion of these important educational issues.

Philip E. Austin
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A RESEARCH PERSPECTIVE ON MANDATORY RETIREMENT

Thomas M. Corwin

FOREWORD

The source of the data used in this paper, unless otherwise noted, is the current American Council on Education Study of the Effects of Raising the Mandatory Retirement Age of Higher Education Faculty. Co-principal investigators in this effort are Dr. Paula R. Knepper, staff associate, and Thomas M. Corwin, policy analyst. Dr. Knepper deserves equal credit for developing the material contained herein. The other Policy Analysis Service staff members who have ably assisted with this project are Anne C. Coldren, Laura Kent, Alphonso Pegram, Janet Plummer, Cathy Slesinger, and Beverly Washington. The author would like to thank the Ford Foundation and the Andrew W. Mellon Foundation for their support of this study.

INTRODUCTION

Congress will soon outlaw mandatory retirement prior to age 70. Beginning on July 1, 1982, H.R. 5383, the amendments to the Age Discrimination in Employment Act, will apply to college faculty members with tenure; it will apply to other faculty members and other college employees on January 1, 1979. In the future, mandatory retirement stands a good chance of being abolished altogether. The new legislation has caused widespread concern on college campuses and has become a focus of attention at the American Council on Education. Its enactment will potentially affect many areas of the academic enterprise: hiring, tenure, and retirement policies; the design of pension plans; financial planning and salary determinations; and even areas related to the business of teaching itself, such as the determination of how many part-time faculty should be hired at an institution. Further research is badly needed; specifically, models should be generated to guide institutions as they plan their responses to this legislation.

I have been in contact with many people—some from the campuses, some with the education associations—who are interested in pursuing this research work, and I am confident that the necessary research will go forward. This paper will address two topics: first, some of the basic information developed by ACE's Policy Analysis Service in the course of studying the effects of raising the mandatory retirement age; and second, some implications that this information has for colleges and universities and for the employment prospects of new Ph.D.'s.

THE DATA

Our first step in studying the mandatory retirement issue was to design an institutional survey on retirement and tenure policies. The survey questionnaire was mailed to a representative sample (10 percent) of all junior colleges, four-year colleges, and universities. Responses from about 41 percent of the sample have now been recorded and analyzed, and they yield what we believe is a valid and useful data base. Some highlights of the data are as follows:

First, we now have a breakdown of current college faculty by age. During the past few months people have said that, because of the unusual age distribution of higher education faculty, the ADEA amendments will inflict an unusual strain on our institutions. They have argued that since faculty tend to retire later than other workers and faculties currently include a large number of older professors who, if given the opportunity, will remain in their jobs for many more years, the employment market for young Ph.D.'s will be severely constricted at least for the next decade and perhaps for the rest of the century.

The data from the survey do not, however, support the view that a large proportion of current faculty members are in the oldest age cohorts. Rather, they show that the median age of full-time faculty is about 42. About 15.6 percent of full-time faculty are over age 55, and only 6.8 percent are over 60. These figures are consistent with earlier survey results, including the 1975 Carnegie Council survey.[1] When we compare our figures with the age breakdown for the entire U.S. workforce,[2] we find that higher education has a much smaller proportion of workers in the under-35 age group. This difference is to be expected in light of the heavy educational requirements for entry to the academic world. On the other hand, the percentage of workers in the over-55 category is almost identical for the full-time faculty and for total workforce populations.

Thus, the major findings about age distribution are, first, that the percentage of older, full-time faculty is relatively small (and is no greater than the percentage of older workers in the total workforce); and second, that the largest group of faculty are those still in their thirties and early forties, who cannot be expected to retire for many years.

With this background, two additional points can be made. First, as one would expect, tenured faculty members are, in the aggregate, older than other faculty members. The median age of full-time tenured faculty is 48, and about one-quarter are over 55. For nontenured faculty, the median age is 36, and about 6 percent are over 55. If tenured faculty members are considered a special case—in that their tenure conveys an unusual type of job security—then the relatively advanced age of those who have tenure is a factor that should be considered in institutional planning.

The second point is that these aggregate data do not apply at all institutions. In our survey we found a few institutions where as many as one-half of all full-time faculty members are over 55 and as many as two-thirds of all full-time faculty members with tenure are over 55. In all, slightly more than one-quarter of the responding institutions reported that more than 30 percent of their full-time faculty members are over 55. These institutions are all four-year colleges (including a few with graduate programs), most are private, and most (but not all) are relatively small. Quite a few are religiously affiliated. For these schools, the full effects of the new amendments will soon be felt.

A second issue covered in our survey was institutional policy on mandatory retirement. During Congressional debate on the amendments to the Age Discrimination in Employment Act, it was often said that an exemption for higher education would be irrelevant in that so many faculty members are already permitted to continue as full-time employees to age 70 and beyond. Most often mentioned in this context were the SUNY system, which for many years has had a mandatory retirement age of 70, and higher education institutions in California, which last year outlawed mandatory retirement at any age.

The survey questionnaire contained one item asking about the institution's current mandatory retirement age—that is, the age at which a faculty member must retire unless a special extension is granted by the institution. We found that the majority of all institutions (64 percent, employing 65 percent of all full-time faculty) still have a mandatory retirement age of 65. The second largest group of institutions (15 percent) mandated retirement at age 70. A smaller number (12 percent) set retirement at some age between 66 and 69. The remaining institutions (9 percent, employing only about 3 percent of all faculty) said they have no mandatory age of retirement. Thus, for more than three out of four institutions in our sample, the age discrimination amendments will require adjustments in retirement policies.

It should be noted that it is a common practice for institutions with a mandatory retirement age of below 70 to grant special permission, upon request, for a faculty member to continue to work full- or part-time beyond the mandatory age. About 89 percent of the institutions that set mandatory retirement below age 70 have such a policy. A minority of the institutions that set mandatory retirement at age 70 also permit special extensions. It is also common to allow extended employment up to a fixed or "compulsory" age, though about one-third of the institutions that allow extensions do not have a fixed limit on extensions. For all institutions, the most common "compulsory" retirement age is 70.

In looking at the entire range of institutions, we found, then, that the most common policy is to require retirement at 65, to permit special extensions beyond that age, and to set a "compulsory" age, generally around 70, beyond which no extended employment is allowed. However, policies at individual institutions often vary considerably from this norm, and fewer than 40 percent of all institutions seem to conform to the modal pattern.

The third important issue covered in the survey questionnaire was faculty vacancies. We asked institutions to indicate how many faculty vacancies they had had during the three most recent academic years and how many were expected to occur during 1977-78. This information was to be given in terms of the age of the faculty member whose departure from the institution resulted in a particular vacancy.

The information now available suggests that colleges and universities have a fairly low turnover rate. The total number of vacancies during the 1976-77 academic year added up to about

7.7 percent of all full-time faculty at all institutions. Most vacancies resulted from the departure of faculty under age 55; only 17.5 percent were accounted for by the departure of faculty age 60 and over. Another 3.9 percent of the vacancies were caused by the departure of faculty ages 55-59.

While I have less confidence in the responses to this question than in the responses to our other questions (in that our response rate for this one was somewhat lower), these data do agree with other projections that faculty vacancies at colleges and universities are few and far between. The projections are for an even tighter market in the coming years.

IMPLICATIONS FOR COLLEGES AND UNIVERSITIES

The data I have presented provide some basis for analyzing the possible effects of raising the mandatory retirement age. While there are still some gaps in the data and while analysis of the ACE survey results will continue, several preliminary conclusions are possible.

For most of the institutions surveyed, the time when a great many faculty members will be reaching the traditional age of retirement is still some years in the future. (There are, as previously noted, several glaring exceptions.) The vast majority of current faculty members were originally hired during the boom years of the late 1950's and 1960's and are still many years from retirement. This situation could turn out to be helpful to the institutions, especially when considered together with the three-and-a-half year moratorium period, during which the new amendments will not apply to tenured faculty. The intervening years will give the institutions some time to devise, test, and implement any new arrangements that are deemed necessary. Many adjustments will be necessary. Among the issues that must be considered by the institutions are the following:

(1) Should age 65 still be considered the "normal" retirement age for most faculty members, with pension plans designed to begin paying out at that age, or should pension systems be adjusted to operate in an environment in which many faculty will stay on until age 70? A related issue is how faculty will react to a change in the ADEA, and whether their retirement decisions can be affected by induced early retirement and other institutional policies.

(2) Can the means be found to insure institutional vitality during a long period of low turnover? It appears that during the next ten or fifteen years, relatively few faculty members will be retiring or leaving their positions for other reasons. Yet some means must be found to bring new ideas, new energy, and even entire new disciplines to the campus. Increased part-time teaching and sharing of faculty slots are two possibilities that come to mind, but there should be other options as well.

(3) Can tenure agreements be administered in such a way as to insure that our colleges and universities are providing the highest possible level of instruction to their students? It has always been assumed that the granting of tenure depends on the quality and quantity of work being done; the tenure system of America's colleges and universities was never intended to provide job security to incompetent or unproductive faculty. However, in some cases it may be doing just that. Changes in the Age Discrimination in Employment Act will prompt many institutions to revitalize existing procedures for determining tenure and to establish new procedures for reviewing tenured faculty. Thus, the burden of adjusting to the amended ADEA will not fall on the institutions alone. Even though the legislation grew out of the desire to end ageism and to provide greater opportunities to older workers, its inevitable consequence, paradoxically, will be that the productivity of older workers will be subjected to closer scrutiny than it has been in the past. One group of workers whose work will require periodic review is tenured faculty.

(4) A final question for the colleges to consider is, will implementation of the ADEA amendments result in major changes in employment and tenure patterns? For several years observers have been saying that our institutions are "tenured up." Our survey (and other recent studies[3]) found that more than half of all full-time faculty now have tenure. The future may bring some dramatic changes. For instance, institutions may begin to consider awarding tenure for a fixed number of years, or they may evolve to a system of shorter fixed-term contracts.

These are the circumstances that colleges and universities will have to face during the next five to ten years. Responding to them effectively will be good preparation, should the time come when there is no permissible mandatory retirement at all.

THE MARKET FOR YOUNG PH.D.'S

All the evidence suggests that new doctorate-holders will have only limited opportunities for academic employment during the rest of the 1970's and that the situation will be even worse during the 1980's.[4] (It should improve later on, but it will probably never again reach the level of the "Golden Years" of the 1960's.) Allan M. Cartter predicted that production of Ph.D.'s would exceed demand by one-third in the late 1970's and by one-half during the 1980's. The situation will vary among academic disciplines, with those fields where scholars traditionally have the fewest nonacademic employment alternatives experiencing the tightest squeeze. For instance, the Bureau of Labor Statistics has projected that between 1974 and 1985 the supply of new Ph.D.'s will exceed demand by 80 percent in social science and psychology, by 100 percent in mathematics, and by 400 percent in arts and humanities.[5] Thus, the concern over the impact of mandatory retirement legislation on an already strained employment market for young faculty is legitimate.

Estimates of the magnitude of this impact are hindered by our lack of convincing data on how the older professors will react to the new amendments. (The current research of Peggy Heim and David Palmer should fill much of the data gap in this area.) My best current estimate is that if one-tenth of all faculty members who reach the traditional retirement age postpone retirement during the next decade, the result could be a temporary 5 percent decline in expected job vacancies. If one-fifth of the older faculty postpone retirement, then the temporary drop-off in vacancies could be as high as 10 percent. These estimates should be considered preliminary. When the data are more complete, we should have some figures that we can use with more confidence. Nevertheless, in evaluating the data we have now along with the data on age breakdowns and projected enrollments, it is safe to predict an extremely tight employment market over the next decade. Because of the new legislation, it will grow tighter still. Adjustments will be needed to insure the vitality of many institutions and to provide young Ph.D.'s with employment commensurate with their training and abilities.

FOOTNOTES

[1] 1975 Carnegie Survey of American Academics as reported in Patton, Carl Vernon; Kell, Diane; and Zelan, Joseph. *A Survey of Institutional Practices and an Assessment of Possible Options Relating to Voluntary Mid- and Late-Career Changes and Early Retirement for University and College Faculty*. Report prepared for National Science Foundation. Contract No. PRM-7624576. November 1977, pp. 177-178.

[2] U.S. Department of Commerce. Social Indicators, 1976. Table 8/2, p. 365. (Data based on U.S. Department of Labor, *Employment and Training Report of the President*, 1976 and Bureau of Labor Statistics, "New Labor Force Projections to 1990," *Monthly Labor Review*, December 1970.)

[3] El-Khawas, Elaine H. and Furniss, W. Todd, *Faculty Tenure and Contract Systems: 1972 and 1974*. Higher Education Panel Report, No. 22, American Council on Education, December 1974, p. 5.
Bayer, Alan E. *Teaching Faculty in Academe: 1972-73*. American Council on Education Research Reports, Vol. 8, No. 2, 1973, p. 17.

[4] Cartter, Allan M., *Ph.d.'s and the Academic Labor Market*. Report prepared for the Carnegie Commission on Higher Education. New York: McGraw-Hill Book Company, 1976, p. 238.

[5] Rosenthal, Neal H. "The Prospective for Ph.D. Supply and Demand," *Council of Graduate Schools in the United States, Proceedings of the Sixteenth Annual Meeting*. Denver, Colorado: December 1976, pp. 47-52.

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IMPLICATIONS OF MANDATORY RETIREMENT LEGISLATION FOR INSTITUTIONS OF HIGHER EDUCATION*

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THE LEGISLATION

In 1977 proposed legislation limiting employers' options to mandate retirement by virtue of chronological age suddenly gained momentum, and by early 1978 the federal government had a new law. With a few exceptions the law prohibits age-mandated retirement before age 70 for anyone who wants to and is able to work. In brief, the legislation modifies the Age Discrimination in Employment Act of 1967 (ADEA), making 70, rather than 65, the earliest age at which private employers, as well as state and local governments, can mandate retirement. It has the following provisions:

(1) Tenured faculty are exempted from this provision until July 1, 1982—that is, colleges and universities can continue to require retirement of tenured faculty at some age between 65 and 70 until this date, if the institution desires.

(2) Higher-paid individuals with a pension from their current employer of $27,000 (exclusive of social security) are also exempted.

(3) For federal employees, there is no age-mandated retirement at any age.

(4) The law requires the Secretary of Labor to study the possibility of eliminating all age-mandated retirement.

At about the same time the federal legislation made its sudden appearance, California—just as precipitately—approved legislation that would eliminate age-mandated retirement within that state. The California law permits employment to continue "so long as the employee demonstrates his ability to perform the functions of the job adequately and the employer is satisfied with the quality of work performed." A few other states, such as Montana and Alaska, also appear to prohibit age-mandated retirement, while legislation proposed in New York would permit employment to continue regardless of age until the employee is "physically unable to perform his duties."

Whatever the reasons for the current legislation, some observers believe that for most large employers mandatory retirement on the basis of age may be on the way out and that the pause at age 70 is only temporary. This paper will consider the implications for colleges and universities of legislation which raises the minimum age for mandated retirement to 70 and which may soon prohibit this employment practice entirely. It will give particular attention, however, to the federal legislation.

Administrative regulations will undoubtedly play a major role in shaping policy. Although both the federal and California laws have as their announced purpose the extension of employment opportunity for older workers, administrative regulations will probably set the limits within which the employer can determine the conditions of work and compensation for staff members age 65 and above. Areas which may be affected include, among others, modifications in the retirement plan, insured benefits, and salary administration.

Under the new federal amendments, the employer can apparently retain the concept of a normal retirement age in the retirement plan, and this age can be less than 70. It is still unclear whether the employer will have to continue retirement contributions beyond the normal retirement age. There are indications that additional service beyond the institution's normal retirement age may not have to be counted in calculating pensions under formula benefit plans, the form used in most state teachers and state employees retirement systems. Whether a similar option will be extended to employers with defined contribution plans, such as TIAA, is less clear.

Other important questions relate to benefits, such as long-term disability benefits, life insurance, and major medical insurance. It is still undetermined whether the employer will have to provide the same benefit features after normal retirement age as before that age. For example, would long-term disability benefits have to be extended to age 70 when the institution has a normal reitrement age and pension available at age 65? Can an employer modify the pattern of life insurance coverage for workers continuing beyond the institution's normal retirement age?

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*The views expressed in this paper are those of the writer and not necessarily those of TIAA-CREF.

These are only a few of the areas in which the decisions of employers may be impacted by governmental regulations.

THE ROLE OF ENVIRONMENT IN DETERMINING IMPACT

The environment in which this new legislation becomes operative will affect the impact of the legislation on institutions and institutional responses. Five observations are offered here:

(1) Institutions are already under severe strain—budgetarily, structurally, organizationally, and externally. The legislation causes additional pressure.

(2) Social legislation, most of it adopted since 1965, further reduces institutional options in adjusting to the new mandatory retirement provisions. It also intensifies the legal problems involved in policy formation.

(3) Although some institutions already have normal or mandated retirement at age 70, and some with earlier retirement ages generally provide extensions to 70, most of the institutions have earlier compulsory retirement. They will feel the impact of the new legislation in varying degrees—depending in part on their current practices.

(4) Even though many institutions will have to offer employment beyond their current age limit, fewer people than expected may defer retirement—at least at first. A significant trend to earlier retirement has become quite pronounced, and mere passage of the legislation may not reverse the practice.

(5) Despite an historical trend toward earlier retirement, inflation and an increased awareness of the financial implications of enhanced longevity may modify, or even reverse these patterns.

The mandatory retirement legislation hits institutions at a time of escalating costs, lagging revenues, and ever-tightening budgets. Specific problem areas include increasing competition for students, sliding enrollments (with even more pessimistic projections for the 1980's), shifting patterns of student demand, heavily tenured faculties accompanied by low turnover among senior faculty and decreasing opportunity for new appointments (except that created by churning), declining institutional flexibility, mounting litigation and encroaching regulations, and diverted institutional energies. These conditions vary in degree of adversity among institutions. But on the whole, institutions are facing serious financial and staffing problems. The new legislation intensifies them.

In this environment, there is little wonder that higher education administrators fear the adverse consequences of legislation extending to age 70, or prohibiting, age-mandated retirement. The problem is magnified because institutions must now wend their way through a legal maze of regulations. They must contend with the Employee Retirement Income Security Act (ERISA), the Internal Revenue Code, equal pay, affirmative action, and age discrimination requirements. Approaches that institutions could have used a decade or so ago to help lessen the budgetary impact of delayed retirement must be reviewed in terms of new legislation and regulations.

In colleges and universities the mandatory retirement age for faculty generally ranges between ages 65 and 70. Most institutions ordinarily require retirement before age 70, and their retirement arrangements will be directly affected by the proposed legislation. Among institutions with TIAA plans, for example, the most widely used normal *and* mandatory retirement age is 65, with one-year extensions permitted at the option of the institution. Some institutions grant the options generously; others, sparingly.

While the legislation gives staff increased opportunity to extend employment to later ages, the evidence suggests that many people do not want to continue working if they do not have to. Disenchantment with their jobs, changing interests, family responsibilities, declining energy, health, and other reasons still cause people to set their retirement sight on an age younger than 70 if they can afford to do so. One-third of the TIAA-CREF annuity owners, for example, now begin receiving their income payments before age 65, compared with 25 percent in 1971 and 16 percent in 1966.[2] At the older ages, the percent starting to receive their annuity incomes has shown a steady decline—20 percent in 1966, 14 percent in 1971, and about 10 percent at present.

Similar conclusions were drawn by Carl Patton in a study of the University of California faculty; many faculty retire before reaching the mandatory retirement age of 67, and presumably still more would drop out before reaching an extended age of 70.

The trend towards earlier retirement may be derailed, however, by fear of inflation and growing awareness of increased longevity. Although individuals are generally aware that people are living longer, they may not know that the average life-expectancy at age 65 is about 17 years for women (TIAA experience). Stated another way, about 59 percent of the women who reach age 65 will live to reach 85, and 36 percent will live to age 90.[3] In other words, a large proportion of people can expect to reach advanced ages.

While increasing longevity may be a desirable trend in itself, it carries burdensome financial implications. For example, with the passage of time, inflation of 5 percent compounded annually would reduce the purchasing power of $10,000 in money income to the following levels:

$10,000	age 65	$4,810	age 80
$ 7,840	age 70	$3,770	age 85
$ 6,140	age 75	$2,950	age 90

Even though social security is indexed with prices and people may need less money as age advances (barring medical and nursing home expenses), inflation may cause people to reconsider their projected retirement ages.

Working longer can significantly improve an individual's financial position in retirement. Under many retirement plans, benefits increase with additional years of employment. Under a TIAA plan, for example, delaying the start of an annuity exerts a powerful upward force on the benefits once they begin. Beyond age 65 each year's delay will increase benefits for most participants by about 10 percent per year, or 50 percent or more in five years. Any additional contributions will raise benefits still higher. Moreover, the additional earnings may lead to substantial increases in savings, while the deferment of retirement tends to conserve savings. There are very good financial reasons—as well as other reasons—why individuals may want to postpone retirement.

In brief, the picture of what people will do about retirement is muddy. On the one hand, the trend toward earlier retirement ages should help check any large-scale movement toward postponing retirement to the legal limit; on the other hand, inflation, combined with increased longevity, may cause individuals to reassess their options and thus distort past trends.

With respect to the institutions, this much is clear: institutions will not be affected equally. Individual colleges and universities start from different positions and their responses will vary. They have different faculty age structures and faculty preferences, different current retirement ages and retirement-plan contribution levels (or formula benefits), and different geographic locations and working environments. In addition, much of the impact is secondary. It arises from the responses made by the institution in adjusting to the legislation, and these responses will vary with the institution and with the people involved.

PERCEPTION OF THE PROBLEM

In addition to their status as employees, individuals have organizational roles and positions. In these roles they have different concerns, and they are likely to see mandatory retirement from the viewpoint of their organizational roles.

Higher-level administrators are vested with personal responsibility for preserving and enhancing the well-being of the institution. They are judged on this basis. They also tend to have side objectives and aspirations—for the institution and for themselves. Like other members of the organization—faculty, other administrators, and support staff—higher-level administrators care about the conditions under which they work and pursue their goals. Administrators are understandably concerned by policies that they think threaten the well-being of the institution, the achievement of objectives as they see them, and the quality of the environment.

More specifically, administrators fear that, directly or indirectly, mandatory retirement legislation can or will have the following effects:

- Increase costs and require reductions in desirable expenditures
- Reduce institutional flexibility and vitality, or complicate their efforts to achieve these qualities

- Place academic or other objectives beyond their reach
- Intensify people-problems, making inter-personal relationships more complex and possibly pushing people into roles they eschew
- Reduce collegiality; disturb established working relationships
- Increase litigation and intensify entanglement with governmental agencies
- Consume energy—both personal and organizational
- Contribute further to the deterioration in the economic condition of the institution

Faculty have different concerns. They are primarily concerned with carrying on their academic pursuits, with collegiality and institutional governance, with various professional responsibilities, and perhaps with side interests—political, professional, and personal—as well. The welfare of their institution has not been made their primary concern, either in the value structure of academe itself or through direct action by the institution, and they are quite likely to see it from a different viewpoint than the administrators.

Whereas administrators may see a highly tenured institution as tenure-bound, faculty seldom share this view. Faculty, understandably, may want to confer tenure on their younger colleagues. Excessive tenuring is not the problem, they are likely to say, and in faculty circles they point to other sources of difficulty—for the most part to administrative inadequacies, such as failure to recruit enough students or at least students with appropriate interests, to raise sufficient money, to offer imaginative leadership, and to develop faculty creatively. Each component—faculty and administration—tends to ascribe the problem encountered to factors beyond their personal control and frequently outside their group as they define it. To do otherwise would intensify conflict to uncomfortable levels.

The fact that faculty and high-ranking administrators see things quite differently will complicate institutional adjustment to the new mandatory reitrement legislation. Indeed, faculty as a group may not see much problem to the institution from deferred retirement, while administrators may err in the opposite direction.

IMPLICATIONS OF THE LEGISLATION

Mandatory retirement legislation has the potential for affecting institutions either directly or indirectly through the responses it induces. It could affect policies and practices, attitudes, positions and conditions. It could have an impact on the economic position of the institution and of the individual. It could increase costs and reduce institutional viability. While the mandatory retirement legislation might improve the economic position of the older individual, it could indirectly restrain wage and salary increases or impose constraints on the quantity and quality of fringe benefits. There is the possibility that the legislation will, along with other forces, induce significant changes in institutional policies and practices—or it may create only a ripple. Much of the impact will be determined by the responses it induces, and these will vary among individuals and institutions.

The following discussion of the potential implications of mandatory retirement legislation for institutions will focus on four subjects: the number of new openings, personnel practices and policies, costs, and tenure. In some of these subject areas, alternatives that may help institutions adjust to the new conditions will also be discussed.

NUMBER OF NEW OPENINGS

In the 1950's and 1960's institutions relied heavily on new position openings to help them achieve flexibility, maintain vitality, and implement affirmative action. Many, if not most of these openings came about because of enrollment growth. Now that institutions anticipate zero or even negative growth, openings will depend primarily on the number of separations. Although institutions can build turnover into younger faculty age structures, retirements have accounted for the bulk of the turnover in permanent faculty who are middle-aged or older Thus, any change in public policy that slows down retirements presents difficulties for the institution.

To the extent that a diminishing number of new openings reduces the ability of the institution to cut staff size through attrition, to reallocate positions among departments, to bring in new people with different competencies, and to add new ideas or dilute entrenched viewpoints through new appointments, administrations may have to develop new approaches to maintain flexibility and vitality. Institutions may want to place more emphasis on academic and financial planning (including the incorporation of floating, non-tenurable positions and money for staff development), on use of temporary faculty (for example, faculty on three-year terminal contracts), and on faculty growth. Administrations may also have to give more attention to leadership style to bring about needed changes in curricular and academic policies.

Institutions might also want to encourage voluntary turnover among middle-aged and older faculty. A few case studies of institutions with mandatory retirement at age 65, but with extensions generally available at age 68, indicate that when their age-specific separation rates are calculated and applied to permanent faculty who reach age 50, relatively few hang on to the final year. For example, almost one-third may leave before they reach age 65 and two-thirds before age 68. These percentages will undoubtedly vary among institutions. Indeed, some administrators with required retirement after age 65 claim that "hardly anyone leaves early." I suspect, however, that statistics for institutions with deferred retirement options would reveal greater outflow before the final working year than many observers might believe. There could be opportunities to enlarge this flow.

Institutions of higher learning have done relatively little to encourage mid-career change. Institutions could provide more assistance—career counseling, programs to help the indivdiual identify feasible new careers and to find them, guidance for readjustment, leaves of absence to reduce risk and encourage experimentation, and, if necessary, economic or fringe-benefit assistance while the individual becomes reestablished. There are complications, of course, in providing these services, and a full-blown service might be rather costly.

Timely retirement can also be facilitated through appropriate retirement plans, plans to induce early retirement, and selective retirement sweeteners. Those institutions whose plans now incorporate a normal retirement age below 70 should not hasten to amend them. A normal retirement age seems to have psychological advantages, since it induces people to think about and plan for retirement at the target age.

There have been suggestions that if people are going to work to age 70, the institution may as well reduce its contribution for retirement at all ages. Unless an institution wants to encourage people to stay on to 70, this approach appears self-defeating. People are not likely to retire at age 65 or 66 unless they can afford to do so, and a low contribution rate will hardly achieve this goal, particularly when viewed within the framework of inflation. Thus, if an institution would like to encourage retirement at age 65, it may be well advised to design a plan so that people can afford to do so.

Hans Jenny and I are preparing a monograph under TIAA auspices. We hope to address some of these questions and analyze the costs and benefits of early retirement plans. Meanwhile, a caveat may be in order for institutions that are hanging their hopes on early retirement plans—with early retirement now redefined as somewhere between 64 and 66—to solve their turnover problems. Based on Dr. Jenny's earlier cost analysis, new legal limitations, and other considerations, early retirement plans of a traditional form are likely to be very costly to institutions.[4]

On the subject of "retirement sweeteners," a name sometimes given to special arrangements offered quietly and selectively to induce certain people to retire early, there can be difficulty in sheltering from immediate income taxation a contribution large enough to purchase the necessary annuity.[5] Although other ways of inducing retirement can be found, they may either be more costly to the institution or have other disadvantages. In general, institutions may have to find other ways of dealing with their difficult people-problems than by offering these individuals sweeteners to secure their timely retirement.

Along with minimizing financial deterrents to retirement, institutions may want to consider removing other obstacles. Next to rapid inflation, perhaps the event the older person fears most is a catastrophic illness that depletes savings. Institutions can help alleviate this fear by providing major medical coverage for retirees—at a reduced but adequate level. The continuation of medical catastrophe protection, whether or not employees continue working, eliminates that reason for extending service.

Retirement is also discouraged by a feeling that the gold watch signifies separation from one's past—professionally, socially, and psychologically. Measures that engender feelings of continued association help reduce the trauma and burdens of retirement; others enrich life. Some of the perquisites most valued by retired faculty members include office and laboratory space, secretarial help for typing manuscripts and recommendations for former students and colleagues, library privileges, admission to cultural and athletic events, use of the faculty club and dining facilities, a subscription to the school paper, and inclusion at college social events, to name some of the important ones. These perquisites help ease the transition and make retirement more enjoyable. They are generally not very expensive, and as the individual ages the privileges are used less and less. But they may be an important factor in reducing the inclination to defer retirement.

Other programs or opportunities can help prepare the way for timely retirement. One approach takes the form of pre-retirement counseling, which ideally should begin at least ten years before retirement to facilitate financial preparation. Some of these counseling programs are described in a study by James Mulanaphy, and TIAA has available an annotated list of retirement preparation programs and materials.[6] Another possibility is phased retirement, which will be analyzed in more detail in the longer study.[7]

These measures, taken together, will probably help some institutions deal with some of their problems.

PERSONNEL POLICIES AND PRACTICES

Two things the law might bring about are new personnel procedures and better records. Better job descriptions and performance appraisals are particularly important. Faculty members cannot be told at the age of 66 that they are no longer competent, without supporting records. In the event of such an allegation, the individual can contest retirement and the institution must defend its position—inability of the individual to perform the job and absence of discrimination. The threat of potential litigation and the need for substantiating records can complicate life for the institution. The solutions are not simple.

For faculty, performance appraisals may smack too much of employeeism. Other—perhaps supplementary—devices may be needed. Professional growth contracts may offer new possibilities for assisting both the individual and the institution. The goal is a procedure useful throughout the individual's career—a procedure to encourage professional growth, to provide satisfaction, and to help the institution utilize personnel more effectively. The development of these arrangements will challenge the ingenuity and perseverance of administrators.

THE EFFECT ON COSTS AND BUDGET ALLOCATIONS

Many of the measures discussed above impose costs in terms of time, energy, or money. To the extent that individuals postpone retirement, mandatory retirement legislation may add other costs as well. Since senior individuals generally have higher salaries than their younger replacements, retirement deferrals may increase the salary bill—but not necessarily. Failure to realize savings through retirements may simply cut down on the money available for salary increases for those who continue on the staff.

Analyzing the effect of postponed retirement on the cost of benefits tends to be complex. For example, the net cost to an institution of continuing retirement contributions for those who work beyond age 65 may not be as great as one would think if new appointees join the plan soon after their arrival, if salary increases are constrained, and if no additional personnel are added.

The extension of the minimum age for mandatory retirement may also affect the cost of insured benefits—just how much depends on the current plan, government regulations, institutional response, the age, sex, and salary structures, and retirement responses, to name some of the factors.

Disability income maintenance may be particularly costly if disability benefits cannot be terminated with normal retirement age, as now occurs in most plans. Individuals disabled before age 65 seldom return to work after 65. Moreover, after age 65 the incidence of permanent disablement increases, as well as claims from marginal candidates for benefits. Unless they are required to terminate disability benefits, most individuals would probably prefer to continue them. The disability benefits may be higher than the annuity income, and, more important, postponing the settlement of a defined contribution annuity, such as TIAA, increases the benefit. Since more is paid out in disability benefits, premiums must rise, and they may rise substantially.

With respect to life insurance, if the institution provides fixed rates of coverage, such as benefit equal to salary, the rate per $1,000 of group life insurance at age 70 is five times the rate per $1,000 for 50-year-olds and twenty times the rate for 30-year-olds.

As for medical benefits, Medicare becomes available at age 65 for workers as well as for retirees. Most institutions that have TIAA major-medical plans, for example, already continue coverage into retirement as a supplement to Medicare. At these institutions, the proposed legislation should not affect major medical costs materially. Those institutions that do not now continue major medical benefits into retirement should consider doing so for the reasons previously described.

The costs most difficult to estimate are those associated with induced responses—that is, responses made by an institution in adjusting to the new legislation. As Robert Scott has pointed out, many of these responses or outlays depend on institutional style,[8] which is influenced primarily by the social environment of the institution and by personalities. The person put in charge of new or expanded functions, along with the prevailing stress factors, determines in large part how the task is approached, how large the operation becomes, and how much money is spent. I am convinced that institutions are well advised to consider personalities carefully before bestowing new functions upon them. Under their advocacy new or expanded functions may take a bigger bite of the budget than was ever remotely contemplated; perhaps more significantly, they may usher in drastic and undersirable changes in operating style.

TENURE

Administrators foresee numerous changes in tenure. The changes that some of the administrators see reflect more hope than vision. These hopefuls think younger faculty will erode away the concept of tenure because they would rather continue teaching without tenure than lose their jobs entirely. Others propose that tenure be terminated when faculty reach the normal retirement age, say 65. This, they believe, would change the reasons for which an individual could be terminated, and it would affect the procedures used, the burden of proof, and the types of evidence required for termination. Others want to grant tenure for fixed periods—say 10 or 20 years—with review before the granting of another contract. Still others hang their hopes on tightened tenure ratios, a reformulation of criteria, and more rigorous and timely pre-tenure reviews.

Many administrators put their faith in action at the other end of the line—in an increased willingness on the part of faculty to blow the whistle on poor performance through a process of peer review. The questions are, How might academics do this, and would they? I personally do not think we can expect faculty to take public positions on a colleague's inadequate job performance, except in cases of pronounced incompetence or noticeable neglect of duties. There is perhaps some hope that visiting committees of academics could be impaneled to perform this function, but I am not optimistic. The task of blowing the final whistle will probably rest with the administration. How it will do this, I am not certain.

In conclusion, institutions will feel the impact of mandatory retirement legislation differently. For some, the legislation will involve only slight inconveniences and moderately higher costs. For others, the impact will be significant indeed. Most institutions will fall somewhere between.

FOOTNOTES

[1] The legislative material draws heavily from a paper given by Thomas C. Edwards, Jr., President of TIAA-CREF, at the American Association of Colleges meeting, February 8, 1978.

[2] Taken from the paper prepared by Tom Edwards for the American Association of Colleges meeting, February 8, 1978.

[3] For the men, about 40 percent of those who reach age 65 will live to reach 85, and 20 percent, age 90. (TIAA tables are approximately those of the 1971 IAM rates set back 0.0 years for males and 1.5 years for females.)

[4] For a discussion of the economics of early retirement from the standpoint of the retiree and the institution, see Hans H. Jenny, *Early Retirement: A New Issue in Higher Education.* Available from the Teachers Insurance and Annuity Association, 730 Third Avenue, New York, N.Y. 10017, 1974. This study antedates many of the restrictive regulations.

[5] For example, the cost of providing TIAA benefits for faculty at age 65 equal to the increased actuarial benefits when retirement is deferred to age 70 may often run $35,000 to $60,000 and higher. This assumes no additional contributions after age 65.

[6] James M. Mulanaphy, *Retirement Preparation in Higher Education*, Teachers Insurance and Annuity Association, 730 Third Avenue, New York, N.Y. 10017, 1978 (price $2.00). TIAA/CREF, "An Annotated List of Retirement Preparation Programs and Materials", Teachers Insurance and Annuity Association, 730 Third Avenue, New York, N.Y. 10017, 1978 (free).

[7] With respect to phased retirement, the individual can meet these variations in income needs by using supplemental Retirement Annuities (SRA's) or by settling part of the regular annuity while leaving the rest to accumulate until full retirement. Some possibilities of tailoring annuities to meet individual needs are discussed in the 1978 Annual Report of TIAA-CREF.

[8] Robert A. Scott, "More Than Greenbacks and Red Tape: Campus Effect and Federal Compliance Requirements." This article will appear in a book published by the Change Magazine Press.

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ATTITUDES TOWARD INCENTIVE EARLY RETIREMENT SCHEMES

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THE RATIONALE FOR INCENTIVE EARLY RETIREMENT

Ammendments to the Age Discrimination in Employment Act, effective July 1, 1982, will prohibit involuntary retirement of tenured university and college faculty under age 70. This legislation may exacerbate problems confronting higher education during this period of steady or declining student enrollment, since a high proportion of faculty are tenured and relatively young. In spite of this development, however, problems may be alleviated if substantial numbers of senior faculty voluntarily choose to retire earlier than the minimum mandatory retirement age.

Two independently conducted studies have recently investigated early retirement.* The first, a mailed questionnaire survey of current faculty, focused in part on professors' attitudes toward and plans for retirement. The second, an examination of early retirement programs in academia and business, focused on the experiences and attitudes of those who have retired early under incentive early retirement programs.

Through incentive early retirement, higher education may be able to open its ranks to persons with new, needed skills by inducing faculty members with outdated skills or reduced productivity to retire early. Recognizing the potential benefits from increasing the retirement rate, a few universities have raised early retirement annuities and found that some people are willing to retire a few years early if given the proper incentive. This move can save money in situations where the annual incentive early retirement payment plus the salary paid to a new employee is less than the retired employee's previous salary.

SURVEY OF FACULTY: MANDATORY AND COMPULSORY RETIREMENT

The mailed questionnaire items on retirement and incentive early retirement were one component of the Ladd-Lipset 1977 Survey of the American Professoriate.[1] The survey, conducted in the spring of 1977, obtained an achieved sample of over 4,200 faculty at nearly 160 universities and colleges.[2] Mandatory and compulsory retirement information was obtained directly from each sample institution. (Mandatory retirement age is the minimum age at which an employee may be involuntarily retired based on age.)

The distribution of mandatory age requirements of the sample institutions, as shown in Table 1, indicates that most of them specify 65 as the mandatory retirement age, and less than one-quarter currently specify age 70 or older, which is the provision necessary to satisfy new legislation. Fewer privately than publicly controlled institutions meet the proposed standard.

Table 1. Mandatory Retirement Age for Faculty at U.S. Universities and Colleges by Type and Control of Institution (percent by column)

Mandatory Retirement Age	Research Universities				Doctoral Universities				Other Universities and Colleges			
	Public		Private		Public		Private		Public		Private	
	n	%	n	%	n	%	n	%	n	%	n	%
65	13	50	11	79	15	60	12	80	35	67	20	83
66-69	5	19	2	14	2	8	1	7	6	12	1	4
70	7	27	1	7	8	32	1	7	7	13	3	13
No Limit	1	4	0	0	0	0	1	7	4	8	0	0
Total	26	100	14	100	25	100	15	100	52	100	24	100

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*The authors would like to acknowledge the support, advice and assistance of Dr. Carlos E. Kruytbosch of the National Science Foundation, project officer for both studies.

Most colleges and universities have a policy that permits faculty to request that employment extend beyond the institution's mandatory retirement age. The maximum extended retirement age—or compulsory retirement age—is the age beyond which the institution is not permitted, either because of self-imposed rules or state-imposed regulations, to extend employment. The overall distribution of compulsory retirement age, as shown in Table 2, is nearly opposite that of mandatory retirement; only one-quarter of the responding institutions prohibit employment beyond age 69. Institutions with compulsory retirement provisions at age 70 or older should experience less difficulty in modifying current policies to comply with the new law. A full 20 percent of the Other Universities and Colleges and Private Doctoral Universities categories currently have a compulsory retirement age limitation of only 65. These institutions will be forced to make adjustments of the greatest magnitude.

IMPACT OF MANDATORY RETIREMENT REQUIREMENT ON AGE DISTRIBUTIONS OF FACULTY

The age distributions of current faculty, displayed in Table 3, demonstrate the low proportions in the senior age groups—less than 2 percent over 65 and less than eight percent over 60. These low proportions are further illustrated by the fact that, within each type of institution, faculty over 60 are fewer than those age 30 and younger. The modal age interval, either 31-35 or 36-40 within each type of institution, is another indicator of the relatively small number of older faculty. Very few faculty are over 65, and given the relatively small proportion in their early sixties, few will attain age 66 before the minimum mandatory retirement age is raised to 70. Over 90 percent of the current faculty will be covered by the amended age discrimination law.

Some insight into the potential impact of extending minimum mandatory retirement from 65 to 70 may be gained through examining the age distributions of faculty in institutions with different mandatory requirements. Dividing faculty into two groups, those at institutions with limits that fall below age 70 and those with limits at age 70 or older, the data in Table 3 show that higher mandatory retirement ages have not resulted in substantially higher proportions of faculty over 65, except in doctoral universities. The opportunity to continue full-time employment beyond age 65 simply has not attracted large numbers of faculty at the present time. The atypical situation in the doctoral universities may be due to different pension eligibility requirements and pension benefit levels, which information is not available to us.

Table 2. Compulsory Retirement Age for Faculty at U.S. Universities and Colleges Within Type and Control at Institution (percent by column)

Compulsory Retirement Age	Research Universities				Doctoral Universities				Other Universities and Colleges			
	Public		Private		Public		Private		Public		Private	
	n	%	n	%	n	%	n	%	n	%	n	%
65	1	4	1	7	3	12	4	27	11	21	5	21
66-69	2	8	2	14	2	8	2	13	7	13	2	8
70	17	65	6	43	15	60	6	40	14	27	9	38
71-75	1	4	1	7	1	4	0	0	2	4	1	4
No Limit	5	19	4	29	4	16	3	20	18	35	7	29
Total	26	100	14	100	25	100	15	100	52	100	24	100

AGE OF PLANNED RETIREMENT

Among the questions asked of faculty in the 1977 survey were several regarding retirement, including the age at which they would "*most likely* retire from full-time academic employment" and the circumstances under which they would consider retiring earlier than their current plans. In view of the fact that large numbers of faculty are many years from their retirement decisions and that their plans may alter when they are confronted with the actual decision, the follow analyses have been limited to respondents between the ages of 50 and 62. These faculty will soon be faced with retirement decisions; they will also be the first academics covered by the new legislation.

Table 3. Age Distribution of Faculty at U.S. Universities and Colleges Within Type and Institution's Mandatory Retirement Requirement (percent by row)

Institutional Category	Age									
	≤30	31-35	36-40	41-45	46-50	51-55	56-60	61-65	≥66	n
Research University										
Mand. 65-69	8.6	20.7	17.1	13.5	12.4	10.8	9.3	6.0	1.6	974
Mand.≥70	7.5	19.9	18.1	14.4	13.5	8.8	9.1	6.4	2.3	361
Total	8.3	20.5	17.4	13.8	12.7	10.3	9.2	6.1	1.8	1335
Doctoral University										
Mand. 65-69	10.0	20.1	18.8	14.1	12.4	11.8	7.5	4.8	0.5	623
Mand.≥70	3.0	19.2	13.5	16.0	12.0	16.7	9.7	4.0	5.9	207
Total	8.3	19.9	17.5	14.6	12.3	13.0	8.0	4.6	1.8	830
Other Universities and Colleges										
Mand. 65-69	7.3	21.7	21.3	18.4	11.7	9.7	6.5	3.1	0.3	1829
Mand.≥70	12.8	11.9	20.6	15.4	8.4	20.7	3.4	6.2	0.7	256
Total	8.0	20.5	21.2	18.1	11.3	11.0	6.1	3.4	0.3	2085
Two-Year Colleges										
Mand. 65-69	6.1	20.8	13.1	13.7	9.8	26.0	6.9	3.4	0.0	688
Mand.≥70	15.1	11.5	10.3	3.0	25.3	3.4	18.7	12.7	0.0	291
Total	8.8	18.0	12.3	10.6	14.4	19.3	10.4	6.2	0.0	980

Table 4 shows that nearly 40 percent of the 50-62 age group plan to retire by age 63; over 40 percent plan to retire between 64 and 66; and less than 20 percent plan to retire after age 66. There are substantial variations among faculty at different types of institutions. One out of five faculty members at research universities intend to retire before age 64, while 59 percent of the faculty at two-year colleges plan on this early retirement.[3] Between 75 and 95 percent of all faculty in the 50-62 cohort, depending upon the type of institution, intend to retire by age 66.

Returning to the issue of mandatory retirement, dramatic differences appear in a categorical comparison of faculty intending to retire at age 67 or older when faculty at institutions with requirements for mandatory retirement under age 70 are separated from faculty at institutions with requirements mandated at age 70 or older. Among faculty in the latter group, the proportion intending later retirement is 10 percent higher in research universities and 15 percent higher in doctoral universities. In general, substantially higher numbers of faculty at universities currently prohibiting mandatory retirement before age 70 plan to retire later than faculty at otherwise comparable institutions.

These intentions indicate greater differences between faculty in the two mandatory requirement classifications than are evident in a comparison of their age distributions. While the institutions with mandatory retirement at 70 or older do have higher proportions of faculty over 65, the proportions are not dramatically higher. The relatively few full-time faculty over 65 currently in higher education may reflect society's long-standing standard of 65 as the accepted age for retirement. The amended Age Discrimination in Employment Act, however, may make later retirement policies much more common by the summer of 1982, when it will apply to tenured faculty. That possibility underscores the importance of identifying mechanisms that will successfully and economically increase voluntary early retirement.

Table 4. Age of Planned Retirement for Faculty Ages 50-62 at U.S. Universities and Colleges Within Type and Institution's Mandatory Retirement Requirement (percent)

Institutional Category	Age of Planned Retirement			
	≤63	64-66	≥67	n
Research Universities				
Mand. 65-69	19.6	58.7	21.6	230
Mand.≥70	24.7	44.2	31.1	76
Total	20.9	55.1	24.0	306
Doctoral Universities				
Mand. 65-69	34.0	56.1	9.9	140
Mand.≥70	30.0	43.8	26.2	55
Total	32.9	52.6	14.5	195
Other Universities and Colleges				
Total*	40.4	37.1	22.4	404
Two-Year Colleges				
Total*	58.7	38.5	2.8	317

*Insufficient number of unweighted cases prevents analyses within subgroups.

INCENTIVE EARLY RETIREMENT

Since typical faculty members could not be expected to be familiar with the complexities of various incentive early retirement schemes, the 1977 survey presented them with two basic types of incentives: part-time employment as a transition from full-time to retirement, and three levels of economic incentives for terminating employment. Respondents indicated if, and at what age, they would consider retiring earlier under each condition, assuming that each condition would be in effect for all years between early retirement and the mandatory retirement age at their institution.

The survey found that one-third of the faculty would consider early retirement "if assured of payments each year equal to one-half [their] annual salary." Among the faculty who would consider this inducement, one-half would retire up to three years earlier. The data displayed in Table 5 show that receptivity to this inducement varied by type of institution and its mandatory retirement requirement; one-quarter of the faculty at research universities, one-third at doctoral universities and other universities and four-year colleges, and over 40 percent at two-year colleges would agree to earlier retirement. Faculty at universities with mandatory reitrement requirements at age 70 or older found this incentive more attractive than their colleagues at universities with mandatory retirement requirements under age 70.

Full pension benefits normally provide a benefit level that is greater than one-half a person's ending annual salary. Table 6 indicates that when presented with the incentive of full pension benefits, the number of faculty who responded that they would consider retiring earlier than their current plans was slightly higher (40 percent) than the number interested in retiring early with one-half of their annual salary. Faculty in the Other Universities and Colleges category viewed this inducement more favorably than those at Research and Doctoral Universities and more favorably than they viewed the opportunity for one-half their annual salary.

Table 5. Impact of Assured One-Half Annual Salary for Faculty Ages 50-62 at U.S. Universities and Colleges, Within Type and Institution's Mandatory Retirement Requirement (percent by row)

Institutional Category	No.	Retire Earlier than Current Plans Number of Years Earlier ≤3	4-6	≥7	n
Research University					
Mand. 65-69	77.6	10.5	6.9	5.0	230
Mand.≥70	65.8	15.4	14.0	4.8	78
Total	74.6	11.7	8.7	4.9	308
Doctoral Universities					
Mand. 65-69	71.0	11.4	12.1	5.4	128
Mand.≥70	50.8	13.2	31.1	4.9	54
Total	65.0	12.0	17.7	5.2	182
Other Universities and Colleges					
Total*	67.7	18.7	2.3	11.4	359
Two-Year Colleges					
Total*	58.8	23.3	7.4	6.5	327

*Insufficient number of unweighted cases prevents analyses within subgroups.

Table 6. Impact of Assured Full Pension Benefits For Faculty Ages 50-62 at U.S. Universities and Colleges, Within Type and Institution's Mandatory Retirement Requirement (percent by row)

Institutional Category	No.	Retire Earlier Than Current Plans Number of Years Earlier ≤3	4-6	≥7	n
Research Universities					
Mand. 65-69	75.9	9.7	8.2	6.2	225
Mand.≥70	62.2	9.2	21.7	6.8	76
Total	72.5	9.6	11.7	6.3	302
Doctoral Universities					
Mand. 65-69	66.7	18.6	13.7	1.0	126
Mand.≥70	63.7	15.7	7.3	13.3	53
Total	65.8	17.8	11.8	4.6	179
Other Universities and Colleges					
Total*	57.9	22.2	12.9	7.0	371
Two-Year Colleges					
Total*	50.5	22.9	15.9	10.7	316

*Insufficient number of unweighted cases prevents analyses within subgroups.

Faculty were also asked how their retirement plans would be affected if they "were assured of payments each year equal to [their] current annual salary." Although this incentive is not financially feasible for most universities and colleges, and is not seriously suggested, therefore, as a probable alternative, the responses provide an indication of the maximum number of faculty who would consider voluntary earlier retirement. The data presented in Table 7 show that one-third of the faculty between ages 50 and 62 would not consider earlier retirement given this generous incentive. The two-year-college faculty were most receptive—75 percent would consider this inducement, compared to 60 percent of the faculty at four-year institutions.

Finally, faculty were requested to indicate if they would consider retiring sooner if they "were assured of part-time employment with a proportionate decrease in salary." A surprisingly large number of faculty showed interest in this alternative. As shown in Table 8, approximately 60 percent would consider part-time service as a transition between full-time employment and retirement. The familiar pattern was repeated—more faculty at universities with mandatory retirement requirements at 70 or older and faculty at two-year colleges were receptive to this incentive to retire early.

Table 7. Impact of Assured Full Annual Salary for Faculty Ages 50-62 at U.S. Universities and Colleges, Within Type and Institution's Mandatory Retirement Requirement (percent by row)

Institutional Category	No.	Retire Earlier Than Current Plans Number of Years Earlier ≤3	4-6	≥7	n
Research Universities					
Mand. 65-69	44.8	17.1	19.3	18.8	228
Mand.≥70	37.1	12.1	22.3	28.5	78
Total	42.8	15.8	20.0	21.3	305
Doctoral Universities					
Mand. 65-69	38.4	16.0	26.1	19.5	133
Mand.≥70	36.6	10.8	9.9	42.9	53
Total	37.9	14.5	21.5	26.1	185
Other Universities Total*	37.5	14.2	13.7	34.6	360
Two-Year Colleges Total*	23.6	32.8	17.1	26.6	327

*Insufficient number of unweighted cases prevents analyses within subgroups.

Table 8. Impact of Assured Part-Time Employment for Faculty Ages 50-62 at U.S. Universities and Colleges Within Type and Institution's Mandatory Retirement Requirement (percent by row)

Institutional Category	No.	Retire Earlier Than Current Plans Number of Years Earlier ≤3	4-6	≥7	n
Research Universities					
Mand. 65-69	49.3	21.3	20.5	8.8	233
Mand.≥70	38.7	24.3	30.7	6.4	79
Total	46.6	22.1	23.1	8.2	312
Doctoral Universities					
Mand. 65-69	45.1	24.9	20.0	10.0	132
Mand.≥70	30.7	19.7	42.4	7.2	56
Total	40.9	23.4	26.6	9.2	188
Other Universities and Colleges Total*	51.7	19.6	19.0	9.7	404
Two-Year Colleges Total*	20.3	40.9	21.5	17.2	327

*Insufficient number of unweighted cases prevents analyses within subgroups.

The responses to this question illustrate the problems in applying the findings of this study to a particular university or college. Faculty are making some assumptions about the courses they would teach, the nature and extent of their non-teaching responsibilities, the perquisites they would retain, and continued institutional contributions to employee benefit plans. Their assumptions are not known, and the extent to which they would be consistent with provisions offered by their employers is also unknown. Specific details for any incentive early retirement scheme must be developed before faculty can make actual decisions about early retirement.

The examination of incentive early retirement programs currently used in higher education, and personal interviews with professors who retired under such programs, as reported below, provide information on the impact of several specific options.

The Impact of Incentive Early Retirement on Faculty

University and college faculty members who retire early typically must take a pension somewhat smaller than the one they would have received at the normal or mandatory retirement age. This reduction adjusts for the longer time period during which the faculty member will be retired and compensates for the smaller amount of funds paid into his or her retirement account.

Recognizing that relatively few faculty members will retire more than a year or two early if this means a greatly reduced pension, some universities, like many corporations before them, have sought ways to provide *additional* retirement income, hoping that this would induce more persons to retire before the mandatory age.[4] This type of early retirement arrangement is usually not operational as part of an institution's basic retirement program. Instead, the institution pays for the additional compensation through general funds or with the retiring employee's salary line.

Although these arrangements have permitted some institutions to reduce their staffs and cut their budgets, or to reduce staffing in one field and increase it in another, few institutions have saved a great deal of money. Usually, little money remains to pay even a less expensive replacement after the retiring employee has been compensated for his or her early departure. Nonetheless, some institutions have found the increased staffing flexibility worth the cost.

Increasing early retirement among faculty members usually has (by itself) only a modest impact on the age composition of the faculty. But in those cases where the faculty is tenured-in and few retirements are expected, even a slight increase in the percentage of early retirements might be highly valuable. Careful planning is essential, because an induced early retirement today means one less normal retirement tomorrow. Thus, a participating institution must be satisfied with a temporary rise in the retirement rate.

The costs of early retirement programs depend upon the specific individuals who retire early, the level of increased benefits paid the early retiree, and the salary paid the replacement employee. Without prior local experience, it is difficult to estimate the number of persons who will elect a given option. Because of this, it may be necessary to limit the period during which the option is offered.[5]

The Early Retirement Alternatives

There are only a few incentive early retirement programs in academia which have retired substantial numbers of professors. Basically, the university programs fall into five categories:

(1) A liberalization of the early retirement actuarial reduction

(2) A pension supplement

(3) Part-time employment

(4) Continuation of perquisites (e.g., continued office use or a continuation of selected employee benefits)

(5) Combinations of the above options

Liberalizing the actuarial reduction (not reducing the early retiree's pension as much as is normally done) is the common way in which increased pensions are provided. But as in industry, this option does not encourage many people to retire early. The pension supplement option causes more people to retire early; but still, the number of faculty members who have accepted this option is limited.

Part-time reemployment has been used as part of an incentive early retirement option. Although this is a device that can be used by a person who wants to phase into early retirement, in academia it has been seen primarily as a way to supplement the pension received by an early retiree.

Although they are usually not sufficient to enable people to retire early, fringe benefits have been continued for persons who decide to retire early under one of the other options. These benefits may ease the transition to retirement and may enhance the attractiveness of other alternatives. To gain an insight into the pros and cons of incentive early retirement, we examined the schemes at a number of institutions. Four universities had enough experience with incentive retirement to warrant a detailed investigation of their plans and the experiences of their incentive early retirees. These institutions included the University of California, Stanford, Indiana University and Massachusetts Institute of Technology. For reasons of confidentiality we cannot reveal the identities of the institutions in the following retirement-plan descriptions.

University 1—Until recently, induced early retirement at this institution was handled informally. There were no precise regulations concerning the eligibility age or the number of years of service required. The faculty member retiring early received approximately 75 percent of the annuity that he or she would have received at the normal retirement date. The average cost of the supplementary annuity was about one-third the total salary plus employee benefits, which would have been paid to the individual had he or she remained on the faculty until the normal retirement date. A standardized formula was recently developed, and it was also decided to offer this standard early retirement option to staff members who would be at least 60 years of age and who would have at least 20 years of service by certain dates. The supplemental annuities are purchased outside the regular retirement plan on a single-life basis with no spouse's benefit. The special program for faculty early retirement will be continued for individuals in the age range 55 to 60.

University 2—At this institution the mandatory retirement age is 70. However, if an academic decides to retire at any age between 65 and 70, the early retirement benefit is equal to the annuity which would otherwise have been received at age 70. It is based on the actual salary of the last year of full-time employment, *without* a salary change. During the early retirement years, the employee receives benefit payments directly from the University, and the University makes full contributions to his or her annuity. On reaching age 70, the University's annuity contributions cease, and the employee begins to draw the annuity. Eligibility is limited to employees with at least 20 years of service and 18 years of retirement-plan participation.

University 3—The scheme at this university involves early retirement *plus* part-time employment. When a professor decides to retire early, he or she receives the actuarial equivalent of the benefits due under the normal early retirement program. But since the person is retiring early and will receive a smaller pension, the retirement benefits are supplemented by an annuity purchased between early retirement and the mandatory retirement age, which goes into effect at the mandatory retirement age of 67. Thus, on reaching 67, the professor receives an annuity equal to that which he or she would have received if employed until mandatory retirement, but without receiving salary increases during that period. In order to match the person's income during the period between early retirement and mandatory retirement with the income receivable at mandatory retirement, part-time employment at the university is provided.

University 4—This university's plan was based on the premise that early retirement should be open to all older faculty members, at their own initiative, rather than being offered on an *ad hoc* basis to persons identified somehow as less productive academics. The designers of this plan reasoned that the best candidates for early retirement were persons with salaries lower than the average for academics of similar age and with similar periods of service. Thus, the plan calculates one's early retirement benefit on the basis of the median earnings level for one's age and service category. The designers of the plan argued that this would give lower-salaried employees a greater incentive to retire.

COMMENTS FROM INCENTIVE EARLY RETIREES[6]

Fifty-two of the first hundred or so incentive early retirees in academia were personally interviewed about their decision to retire early and their experiences since retirement. The respondents, from the four institutions mentioned above, tended to be highly satisfied.

Most retired less than five years before reaching the mandatory retirement age.

Since the mandatory retirement age for most of the retirees was 67 or 70, these persons terminated at about the retirement age considered "normal" in business and industry. On the average, they terminated about four years before reaching their institution's mandatory retirement age. Their average age at retirement was 64; thus, many retirees, especially those who were eligible for social security benefits, did not feel they had retired "early" at all.

The reasons for early retirement are varied.

Most early retirees mentioned several factors that influenced their decision to retire early. The most common reason, mentioned by 50 percent of the respondents, was that they had already developed, or wanted to develop, some interests outside their regular university responsibilities. Some had a specific project in mind, such as finishing a book or research project. Others said they retired to set new goals for themselves and to enjoy a different lifestyle. The second most common reason (stated by 40 percent) was that they had lost interest in or no longer enjoyed their work, or were fatigued by the pressures that accompanied even the most enjoyable challenges. Many retirees felt that they already had sufficient finances to retire comfortably. In 27 percent of the cases, it was the special early retirement option that made early retirement financially feasible. About one-fifth of the early retirees had a health problem or disability that contributed to their early retirement decision.

Most expressed satisfaction with their decision to retire early.

Seventy-three percent of the respondents reported that they were very satisfied with their decision to retire early, and only one said he was not satisfied. Ninety percent would retire at the same age if they had it to do over again. Only two respondents said they would retire later. Most of them said that they enjoy the freedom and the time they have to devote to interests and activities they never had time for while working. Also, many said they were relieved to be away from the pressures and strains of their university responsibilities.

Few said they would have retired earlier even if the conditions of the early retirement option had been different.

Most of the early retirees *would not* have retired earlier, even if the conditions had been different. Those who gave reasons said they would not have been psychologically prepared for retirement, or that they were too interested or involved in their work to retire any earlier. On the other hand, about one-fifth said they would have retired earlier if conditions had made it financially feasible.

Most were faring well financially.

Eighty-eight percent of the early retirees reported no change in their standard of living since retirement. The reason, according to most, was that although their gross income was lower, their "spendable" income was higher. There are no deductions for social security, and retirees do not have to pay income tax on social security or on income from their after-tax contributions to retirement funds. Quite often their major expenses, such as the house mortgage and the children's living and educational expenses, are behind them. Money once spent on business clothing, lunches away from home, and commuting can be reallocated after retirement. Many of the early retirees expressed concern about the potential effects of continued inflation, but a large majority said that, so far, they had been able to live as well as or better than they had expected.

Most are still active professionally.

More than two-thirds of the early retirees had been paid for consulting or part-time work since retirement. About one-half of them had been paid for such activities in the current year. Many were also doing unpaid volunteer work related to their fields, or they were writing or conducting independent research. Counting these latter activities plus employment in one's field, 83 percent of these academics have been professionally active since early retirement.

Were The "Right" Persons Selected?

It is difficult to determine whether the "right" persons retired under these special retirement options. However, it is important to note that 56 percent of the respondents mentioned at least one reason for retiring early that could reflect failing individual productivity and effectiveness. In terms of specific problems, 40 percent said they had lost interest in or had become dissatisfied with their work or felt the pressures of working were too great; 21 percent had health problems or disabilities; 15 percent said they were dissatisfied with the quality of their own performance; and 12 percent said they were dissatisfied with or could not adapt to the changing administration or academic focus of their departments or universities.

Although these early retirees adopted a variety of aging patterns, most of them said they continued their academic interests during retirement. Some had a continuing formal relationship with the university, teaching or carrying out research on a part-time basis. Others had a less formal relationship, assisting their former departments on an occasional basis, using the library or office space, and attending university events. Still other retirees continued their academic pursuits, but at non-university locations. Both retirees who continued with their academic interests and retirees who adopted other roles tended to note satisfaction with their retirement decisions.

Because of their relatively high status, the control over their careers, and the nature of academic life, professors who want to continue academic work after retirement are often able to do so. For one thing, much academic work can be done without university facilities. Furthermore, contacts made during an academic career can be exploited during retirement. Other parts of one's academic career, often those parts considered more desirable, can be continued—for example, consulting, public speaking, voluntary service to government, professional memberships, political activities, etc. The recent retirees—though some said they felt constrained—reported that continued academic involvement is possible, *if* one desires it.

These and other factors, such as sound financial expectations and generally stable health patterns, lead most faculty members to have positive retirement experiences. The high levels of activity before retirement tend to carry over into retirement. The writers continue to publish, the consultants continue to consult, and the persons who were active community volunteers also tend to be the most active volunteers during retirement. Sometimes the reported retirement activities were not academic in nature; but recent retirees seldom reported that they viewed retirement as a time to do nothing. Rather, those abandoning academic interests assumed other activities, such as living on a sailboat, devoting full-time to music, building a home in the mountains, starting a business, etc.

EARLY RETIREMENT SCHEMES: IMPLEMENTATION ISSUES

Since the early retirement schemes were designed in part to permit the hiring of new employees, it would be reasonable to expect positive reactions from departments. However, there were negative responses stemming from at least three factors: (1) the loss of the early retiree's position because it reverted back to the university administration; (2) in the cases where departments retained the position, a disappointment with the amount of funds released; and (3) a general dissatisfaction with the way in which the retirement program was administered.

The Loss of a Position

At some institutions there is no guarantee that a department from which a person retires early will be able to keep the vacated position. Thus, there can be some reluctance on the part of the department chairman to suggest the early retirement arrangement to one of his or her faculty members. Whether early retirement itself results in the loss of a position is not clear. In some cases respondents reported losing a FTE because of an early retirement, but their departments had often been notified that a certain number of positions would have to be given up. Even if an early retirement had not freed up a position, a department might still have had to let go of another faculty member. Although the university may benefit as an institution from an early retirement—by being able to reallocate a position, that benefit is difficult to perceive by the unit losing the position. Chairmen tend to be hesitant to recommend someone for early retirement;

deans are less reluctant, for they are usually able to retain the position, perhaps reallocating it to another department.

The Releasing of Funds

Even if a department is assured that it will not lose a vacated position, it may not be able to hire someone to fill that position because insufficient funds are released by some early retirement plans. In some institutions, not only are few positions freed and limited funds released, but these funds are not being released as early as was hoped, since the early retirees are terminating, on the average, only several years before the mandatory retirement age.

A chairman commented on the issue:

> The program is bad because there is no incentive for a department. The net savings were a few thousand dollars. Why cause trauma to a department chairman and the early retiree for so little gain? The department netted $5,000 per year, but we couldn't do anything with the money. . . . If I had to do it again, I might not. I don't consider it that useful.

Part-time employment had been considered as an early retirement option, but because faculty members who are retained part-time are often assigned to specific budget lines, a department can hire only temporary replacements for those faculty. Consequently, departments would rather have a faculty member retire completely; if a chairman feels that a faculty member might retire completely in a few years, he or she may see no advantage in encouraging an arrangement that would cause the faculty member to continue on a part-time basis for perhaps even more years.

The part-time employment option caused "make work" jobs to be created in some cases. Time and again the early retiree's superior reported difficulty finding something for the early retiree to do a part-time basis. Often the early retirees and their chairmen had quite different conceptions of what the part-time job should be. For example, the early retiree might have had a small advanced seminar in mind, whereas his or her chairman or dean was thinking terms of a large introductory or service course. Another conflict associated with part-time work was the space problem. Both the early retiree and his replacement required separate offices; in all cases, sharing office space was considered impossible.

Administrative Problems

Most of the early retirees felt that their retirements were handled well. However, respondents from one institution were uniformly dissatisfied. They cited general administrative problems, including absence of a central source of information and unclear rules. A chairman spoke about the rules:

> There was a lot of paperwork with people we didn't know. They were often fuzzy-minded, and I was pretty much soured by the negotiations. It would have been better with a local person [a person from the potential early retiree's own division rather than a higher level administrator]. It would be more likely to be done humanely and with dispatch if it could be done in their own environment. The process needs to be decentralized. It needs to be very lean at the top.

A dean at another institution complained that no one counseled him about how to handle the early retirement arrangement and that the retirement office had little information.

Suggesting an early retirement to someone may be a difficult task; it must be done with tact and consideration. However, most of the early retirees report that they were glad they had the opportunity to retire early. Some reported that the option permitted them to leave an unhappy situation. Further, a number of current employees reported that they would welcome the opportunity to retire early. The perceptive administrator who knows his faculty members should already have some idea of who to speak with about these alternatives. Obviously, an institution should retain legal counsel before any alternative is suggested to any employee.

Handled properly, induced early retirement may be one way to increase turnover in the faculty ranks. Each institution will have to make decisions about how much turnover it needs, how much it can afford, the type of incentive that will suit its needs, and how it will implement that option.

CONCLUSION

Early retirement, for the academics discussed here, was apparently not a traumatic experience. Many currently employed academics might be inclined to take advantage of an early retirement plan, under the right conditions, although there are slight variations in the proportions of persons who would choose the various alternatives. The acceptance rate will depend upon the details of the alternatives and the response of faculty members to the boosting of the mandatory retirement age.

If many academics take advantage of the new option and stay on till 70, there will be a short-term decline in the overall retirement rate. This might suggest that universities and colleges should adopt special early retirement programs to encourage people to retire before age 70. However, the data presented here suggest that most faculty members may not decide to stay on until age 70. For one thing, the average mandatory retirement age in academia is now approximately 67. Even in those institutions where the mandatory age is now 70, most academics retire before age 70. In general, there is little variation in the average age of retirement at different institutions, regardless of the mandatory retirement age in effect. This suggests that people's decisions to retire are based more on the social norm than on the mandatory age at their institution. However, when asked when they will retire, persons at institutions with higher mandatory ages report higher planned retirement ages. Our tentative explanation for these differences is that people make plans based upon the norms and rules of their immediate reference groups (their university), but ultimate decisions are based upon the broader norms and rules of society. For example, they may be based upon the average retirement age of all Americans, the age at which when an unreduced social security income may be received, the age when income from other savings plans will mature, etc.

Although many academics may not view retirement with trepidation, few retire more than a few years before age 65. Since most academics remain academically active, and since few experience poor health or pressure to quit, they have little incentive to retire. Further, employment opportunities during retirement are limited in some fields, particularly in the humanities, and academics in these fields are reluctant to retire too early lest their retirement annuities be eaten away by inflation. Nevertheless, there will be a small, and perhaps increasing demand for early retirement. As on-the-job pressure in academia increases as a function of the reduced demand for faculty members, as academics are expected to carry more responsibilities because of the reduced size of the faculty ranks, and as resource bases shrink, more academics may choose retirement if they can afford it financially. Even so, the demand for early retirement will probably remain modest. As long as early retirement is more an option of the potential retiree than a decision of the administration, there may be little faculty opposition to the idea. Clearly, some academics want the opportunity to opt out, and if these early retirements can be financed without cost to current employees, then they should be seen as a desirable aspect of the retirement process.

FOOTNOTES

[1] David Palmer was an associate of the 1977 survey and served as principal investigator of the retirement and mid-career change component of the survey. Part of the data reported here was collected under National Science Foundation grant PRM-7622637. The conclusions are those of the authors.

[2] David Palmer would like to thank Everett C. Ladd, Jr. and Seymour M. Lipset for their cooperation and advice throughout the investigation. For additional information regarding the entire survey, see: Robert K. MacDonald, *Technical Report: 1977 Survey of the American Professoriate*, Social Science Data Center, University of Connecticut, February 1978 (mimeograph).

[3] For information on the relationship between retirement plans and scholarly productivity see: Everett C. Ladd, Jr., Seymour M. Lipset and David D. Palmer, "The American Professoriate: The Issue of Mandatory Retirement," *The Chronicle of Higher Education* (November 7, 1977).

[4] Part of the data reported here was collected under National Science Foundation contract PRM-7624576. The conclusions are those of the authors. The complete study is reported in: Carl V. Patton, Diane Kell, and Joseph Zelan, *A Survey of Institutional Practices and An Assessment of Possible Options Relating to Voluntary Mid- and Late-Career Changes and Early Retirement for University and College Faculty* (Cambridge: Abt., 1977).

[5] Details about costs and manpower impacts may be found in a forthcoming book: Carl V. Patton, *Career Options for American Academics: Mid-Career Change and Early Retirement* (Cambridge: Abt, 1978).

[6] Details on the early retirees may be found in Diane Kell and Carl V. Patton, "Reaction to Induced Early Retirement" *Gerontologist* (April 1978).

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McGill Proposed Scheme.

SPECIAL EARLY RETIREMENT PROGRAM FOR ACADEMIC STAFF

TERMS OF REFERENCE

This text describes an advantageous Special Early Retirement for which an academic staff member can apply and which will be granted if there are genuine academic or financial advantages to the university. It is an alternative to the existing Early Retirement, which remains in effect and which any university employee can choose as a right.

EXISTING PLAN

Under the usual provisions, any staff member who has attained the age of 60 years may retire upon giving one year's notice to the university. In this event, the staff member's early retirement pension is determined on the basis of highest average earnings and service up to the date of early retirement. This pension will then be reduced by an actuarial adjustment (currently one-half of one percent for each month by which payment has been advanced from the normal retirement date.) Full details may be found in the Pension Plan Document.

SPECIAL PLAN

(A) Any full-time member of the academic staff may apply for Special Early Retirement to take place at any time after August 31st in the academic year in which he/she reaches the age of 60. Such benefit will be normally granted only to those with at least 15 years of credited service at the university at time of proposed Special Early Retirement. All applications will be considered on an individual basis and each will be assessed primarily on its financial viability.

The applications for Special Early Retirement shall be assessed by a committee; two members to be appointed by MAUT, two to be appointed by the Principal. The Secretary-General shall convene the committee and provide secretarial assistance.

(B) Special Early Retirement is granted by the Board of Governors on the recommendation of the Principal. Normally, there will be no replacement of a staff member who elects for Special Early Retirement.

In special cases, such replacement can occur after approval by the Dean and the appropriate Vice-Principal, but the appointment will be made at a rank no higher than Assistant Professor.

(C) The pension during the period of Special Early Retirement will be calculated as if employment at the same rank had been continuous up to the normal retirement date, assuming 6% annual salary increments between the dates of early and normal retirement. At the time normal retirement would have taken place, a recalculation will be made, based on the actual across-the-board salary increase to which he/she would have been entitled during the period of Special Early Retirement, and a corresponding adjustment made in the pension from that date onward. No retroactive adjustment, positive or negative, will be made, however.

(D) The academic who is awarded Special Early Retirement will be entitled to all the benefits and privileges of those who have retired at the normal time. All pension calculations will be made on the basis of a life annuity.

(E) The plan will continue for a period of 5 years, subject to the right of the Board of Governors to cancel the plan on a year's notice. Should the Special Early Retirement Plan be cancelled, the processing of any applications at the time of cancellation will continue.

TRENT UNIVERSITY

ASSOCIATION OF TEACHING STAFF

FIRST REPORT OF THE TASK FORCE
ON
BUDGETARY PROCEDURES,
UNPAID LEAVES,
EARLY RETIREMENT,
TERM AND SESSIONAL APPOINTMENTS.

April, 1978

PREAMBLE

This task force was established by the A.T.S. Executive to recommend new budgetary and personnel policies which would enable the University to cope more effectively with the next few years of possible declining student enrolment, financial stringency, and an aging faculty.

The task force proposals are arranged in 5 parts as follows:

I. Normal Budgetary procedures.
II. Complete or partial voluntary unpaid leaves.
III. Voluntary early retirement.
IV. Term and sessional appointments.
V. Procedures for periods of financial necessity.

Many of the proposals are still tentative and will undoubtedly be much improved by general discussion. It is however important that the University should agree on new policies as quickly as possible. The revised normal budgetary procedures suggested in Part I are particularly urgent and, given general agreement on their desirability, should be implemented in September 1978.

Maurice Boote,
Cyril Carter,
David Gallop,
Magnus Gunther.

I. NORMAL BUDGETARY PROCEDURES

A. Introduction

In the opinion of the task force, Trent's normal budgetary procedures have not been satisfactory. Since 1973, there have been two budget committees, Budget Implementation (BIC) responsible for monitoring the current budget and drafting the next one, and Budget Review and Priorities (BRPC) responsible for longer term financial priorities. The Task Force believes this division has not been successful. The relationships of BRPC with BIC on the one hand, and with the Academic Development Committee (ADC) on the other hand have never been clear or productive. Indeed, the idea that longer term financial problems can be separated from short term ones has proved to be fallacious. Originally the Dean was a member of BRPC and not of BIC, but the former Dean found this exclusion intolerable, and the Dean is now a member of both committees.

While the role of BRPC has been uncertain, BIC has tended to be ineffective. BIC is advisory to the President and is no more than an informal talk-shop. No minutes are taken and there is therefore no record of the advice offered, or whether the President has accepted that advice. The constitution of BIC is 4 full-time administrators, 3 faculty and 1 student. Often the student member or one or more faculty members are unable to attend.

The Task Force recommends that a single budget committee should be established with strong and accountable representation of faculty and students. Constitutionally the committee can only be advisory, but the President should give details and reasons whenever the Committee's advice is not accepted. Academic input into the budget process would come in two ways. Firstly, the faculty and student members would be accountable to the faculty and student bodies. Secondly, the Dean would be responsible for making budgetary recommendations involving the academic programme. He would form a direct link between the Budget Committee and Senate, ADC, and departments. The present Dean has in fact already seen and accepted the need for a change of his role in this direction.

B. Recommended Procedures

1. In establishing its budgets, the University will ensure the primacy of its educational functions, teaching and research.

2. The University's budgets, both long term and short term, will be drawn up and monitored by a Budget Advisory Committee, consisting of the President, Vice-President (finance), Dean of Arts and Science, 3 nominees of the Faculty Council Executive, 1 nominee of the Association of Teaching Staff Executive, 3 nominees of the Trent Student Union Exeuctive. The Budget Committee is advisory to the President, who will make recommendations to the Board of Governors. Whenever the President or the Board rejects the advice offered by the Committee, the details and reasons will be communicated to the Committee.

3. The Budget Committee and the Board of Governors have a responsibility to take all reasonable measures to forestall and prevent financial circumstances that would involve hardship for employees and students. All members of the University, in turn, have a responsibility to show reasonable flexibility in assisting the University to cope with changing needs and financial circumstances.

4. The Dean of Arts and Science, in consultation with departmental chairmen, is responsible for recommending to the Budget Committee levels of staffing and funding which will ensure that the academic programme of the University, as approved by Senate, can be adequately maintained and developed. Where and when appropriate, the Dean should encourage academic departments and programmes to make use of the provisions for voluntary unpaid leave and early retirement (Parts II & III below), Whenever the Dean determines that approved levels of staffing and funding are not adequate in any particular academic area(s), details and reasons will be reported to Senate.

5. The Association of Teaching Staff, and other bona fide associations representing employees of the University, may submit briefs on salaries and benefits to the Budget Committee. In considering such briefs, the Committee will take account of comparative salaries and benefits for other similar employee groups locally and provincially.

II. COMPLETE OR PARTIAL VOLUNTARY UNPAID LEAVES

A. Introduction

In certain departments faculty members have taken occasional unpaid leaves, either for half a year (often in conjunction with a half-sabbatical), or for a full year, or sometimes for longer periods. Over the eight academic years ending June 30 1978, some 35 such leaves have been taken in 12 departments, not including sabbaticals taken at less than full salary. For a summary by departments see Appendix.

There are obvious advantages in such arrangements. They enable individuals to complete substantial research which they could not achieve while carrying increasingly heavy teaching loads, and to return to their teaching duties refreshed. They save the University money, since replacements can usually be made at lower cost. They help to counteract 'stagnation' of regular staff. And they provide opportunities, even if only temporary, for well qualified younger academics.

It is clearly desirable that unpaid leaves should be taken by individuals voluntarily rather than forced upon them by the University. By creating incentives for faculty to take them wherever possible, the University stands not only to survive the period of declining enrolment lying immediately ahead, but also to build up a reserve of younger staff who will be needed when enrolments once again increase, but when faculty members now in mid-career will be retiring.

At present, however, the University has no clear policy governing the taking of unpaid leaves. In particular there are no principles regarding the replacement of those taking them, or the conditions of service for replacement appointees. It is therefore proposed that, as part of the University's continuing effort to adjust to economic constraints, a systematic policy for the facilitation of unpaid leaves, both partial and complete, should be developed as a matter of urgency. Provided that such leaves can be planned systematically, undue disruption of the academic programme should be avoidable, and any administrative inconvenience should be more than off-set by the benefits noted above.

In what follows, the concepts of partial or complete unpaid leave will be distinguished from those of partial or complete early retirement to be discussed in Part III below. The former will not be taken to imply, as the latter do, the permanent abdication of individuals from part or all of their University duties. Moreover, the former, unlike the latter, are options that may, in principle, be available to all academics, regardless of age or length of service.

The expression 'partial unpaid leave' will be used here not only in connection with the total relief of staff from their duties for part of a year, but also to cover arrangements whereby they carry a partial work load over a whole year (or longer) in return for a correspondingly reduced salary. Arrangements of this latter type can obviously have the same advantages as the others. It will, however, be important to ensure that in such cases work loads (including administrative duties) are indeed reduced commensurately with any reduction in salary. It is no less important that disproportionately heavy work loads, especially in administration, should not devolve upon those who take partial or complete unpaid leave less frequently.

The term 'partial unpaid leave' as used here does not include the unpaid portion of sabbatical leave taken at less than 100% of salary, where (as will normally be the case under the existing sabbaticals plan) the proportion of salary paid exceeds 50%. On the other hand, should a full year's sabbatical be taken at only 50% of salary, this will be viewed as equivalent to taking half a year's leave without pay, and in such cases the proposals to be made below will be applicable.

B. Planning for Unpaid Leave

It will be necessary for departments to plan for unpaid leaves as far in advance as possible, with due regard to the number of their members scheduled to take paid sabbaticals in a given year, and to the need for reasonable continuity of academic organization and policy. In long-term leave planning it is suggested that the following assumptions should be made:-

i) Those on paid or partially paid sabbaticals will not normally be replaced regardless of enrolment.

ii) Those on unpaid or partially unpaid leave will normally be replaced, at least partially, within their own departments, regardless of enrolment.

iii) Programmes advertised in the calendar should not be drastically modified within three years of relevant calendar announcements.

Assumption iii) should ensure that expectations formed by students in their first or second years will not be disappointed, provided that they complete their degree programmes in three or four consecutive years. Assumption i) is already University policy. Assumption ii), however, would constitute a significant change from present practice, whereby departments negotiate annually with the Dean to determine whether any degree of replacement is justified at all. A rationale for this change of practice is therefore given in section C below. The change is also closely linked with proposals for incentives to take unpaid leave, and for the remuneration of replacement appointees, made in section D. Some financial aspects of unpaid leaves are discussed in section E. A summary of the main proposals of this Report regarding unpaid leaves will be given in section F.

C. Replacement Policy

It is suggested (a) that a sharp distinction should be drawn between the funds released by individuals' taking unpaid leave and the vacancy created by their doing so; and (b) that while at least part of the vacancy should normally be made available to their own department, the full amount of the funds released should not. In this way, it will be possible to ensure that departments are not unduly disadvantaged by their members taking unpaid leave, and yet that the University benefits from the difference between the leave-member's salary and the replacement cost.

It may be objected that such a policy is too rigid, and limits the opportunity to correct existing inequities among disciplines. Unfortunately, any hoped-for correction would probably be only temporary, since - in the absence of enforced leaves - a commitment exists to the member on leave, guaranteeing that he may rejoin his department at the end of the leave period. But in any case, the objection appears ill-founded for the following reason. If there is an onus upon departments to justify any degree of replacement for those on unpaid leave, then a strong disencentive to request such leaves will have been created. Unpaid leave must, in most cases, entail substantial financial sacrifice, particularly for individuals who wish to devote their time to academic research rather than undertake alternative employment. Yet individuals can hardly be expected to make that sacrifice readily, if they will thereby not only lose money themselves, but also leave their colleagues with an increased work-load, secure no intellectual benefit at Trent for their own subject, and possibly even enable other disciplines to attract more students at their own expense.

Furthermore, exchanges of faculty with members of other universities are now being actively explored both at the national and provincial levels. But if they are to be encouraged, then *a fortiori* it should generally be possible for departments at least partially to replace those who go on leave without pay. For by replacement at lower cost than the salary of the member on leave, they are saving the University money; whereas a straight exchange of faculty with comparable qualifications and experience would generally effect no such saving, particularly under arrangements whereby salaries are paid by the individuals' home university.

D. Incentives and Replacement Stipends

The impact of financial loss for individuals taking unpaid leave will be somewhat softened by income-tax savings. But such savings are at present themselves largely off-set by increased burdens of pension and benefit plan contributions necessary to maintain full entitlement. To overcome this disincentive to the taking of unpaid leave, it is therefore suggested that faculty forgoing all or part of their salary in a given year should have their contributions made good by the University for the year in question. Moreover, years of unpaid leave, when clearly used for academic professional development, should be reckonable as 'earned years of service' for the accumulation of sabbatical credits. The criteria now used by COAP in approving sabbatical applications could be used in determining eligibility.

In addition, the remuneration of replacement appointees needs to be re-examined. Recently, some individuals teaching courses that departments cannot man with their regular staff have been appointed on a 'stipend-per-course' basis, the courses in question being operated within the Part-time Studies Programme. This has created financial inequity as well as hopeless administrative confusion. The inequity arises because the Julian Blackburn College course stipend (now $2,600 rising to $3,000 in 1978-79) is very low when compared with the proportion of a regular appointee's salary attributable to each course he teaches. Thus, the floor of the Lecturer salary scale is currently $13,060 whereas a load of three courses on a stipend-per-course basis would provide an income of only $7,800.

It is therefore suggested that replacement appointees assuming part of a regular faculty member's load should be paid in due proportion to the reduction of that load. Thus, if a regular staff member who would normally teach three courses is granted a one-third reduction of load, then the stipend available for replacement should be at least one-third of a lecturer's salary, i.e. (on current figures) at least $4,500. On this basis, it would take the renunciation by regular staff members of only two courses within a department's programme to effect a substantial saving in its salaries budget, while at the same time providing a replacement appointee with a living wage. This would still be very meagre pay, but it would provide an opportunity, expecially if it could be combined with a resident donship, of which good candidates in the job market would wish to take advantage. It would help greatly to maintain intellectual vitality within Departments if several such positions were available at any given time. This would be possible, at least in larger departments, if partial unpaid leaves were taken far more often than they now are (see section E below). Preferably such positions should be tenable for at least two consecutive years. It is therefore to be hoped that, by a planned rotation of fully or partially unpaid leaves, departments could guarantee two-year appointments wherever possible. Whether there should be any maximum term for such appointments, or any limit upon the number of successive renewals of positions occupied by the same individual, is a difficult question, which will be discussed in Part IV below.

E. Financial Aspects of Unpaid Leaves

On average during 1970-78 4.4 members (or 2.4% of the faculty have taken unpaid leave annually. The gross saving from these leaves have averaged $92,000 annually, and the average gross saving on each individual unpaid leave has been about $21,000. It is not possible to determine replacement costs, since sessional appointments cannot always be directly linked with the taking of leaves, paid or unpaid. The actual net savings due to unpaid leaves cannot therefore be computed. But it is clear that the average unpaid leave salary has been at least double the cost of a minimal replacement.

To achieve any substantial overall saving, the percentage of faculty taking unpaid leave annually would have to be very much higher than 2.4%. But if it were possible for, say, 20% of the faculty (currently about 36 people) to take such leaves annually, then a gross annual saving of at least $750,000 should be possible. Under the policies advocated in sections 2-4 above, this saving would be off-set by the cost to the University of pension and insurance contributions and 'earned years of service' payments, together with replacement costs. Nevertheless, assuming replacements at very junior levels, net savings of the order of $300,000 could still be realised annually. Indeed, this estimate, since it is based upon averages from 1970-78 figures, is certainly conservative.

For 20% of the faculty to take unpaid leave annually, it would be necessary for everyone to do so, on average, for one year in every five. Admittedly, it is highly unlikely that everyone could afford to take a complete unpaid leave as frequently as that. But there may be a significant number of staff members who would be willing and able to do so more frequently. One might therefore suggest one year in five as an overall goal at which the faculty as a whole might aim. It is worth noting that under the existing sabbaticals plan, all faculty members are eligible for a half-year sabbatical at 100% salary when they have five 'earned years of service', i.e. after four years of full-time service. In principle, therefore, it is already possible for all faculty members to take a half a year's leave with pay in every fifth year. In order to take a whole year's leave at half pay in every fifth year, they need only combine a paid half-sabbatical with a half-year of unpaid leave. Given income tax savings, half a year's unpaid leave once in five years might be a realistic goal, even for those whose circumstances make more frequent periods of unpaid leave impracticable.

To achieve such goals, faculty members should be encouraged to give serious thought to methods by which they might be able to make financial provision for taking occasional unpaid leaves. One simple way would be for the University to 'spread' individuals' salaries, at their own request, evenly over a larger number of years than they are being paid for full-time service. For example, they could request $\underline{n}$ years salary to be spread over $\underline{n} + 1$ years. thereby benefitting from lower tax rates in every year, and the opportunity to take a fully unpaid leave in the $(\underline{n} + 1)^{st}$ year. Another possibility would be for the University, on individuals' request, to 'bank' some portion of their salary against the year in which they intend to take unpaid leave, thus achieving income tax savings immediately, as well as a low rate of taxation during the year of unpaid leave itself. The amount of salary remitted might vary from year to year according to individual circumstances. Such 'banked' portions of salary might also be invested so as to bear interest, if this could be legally arranged. In addition, funds from registered retirement savings plans could be drawn upon, although these are subject to legally fixed limits, and will presumably be ear-marked in most cases for retirement. Finally, the Unemployment Insurance Commission should be contacted, to ascertain whether benefits would be available to individuals who had taken unpaid leave voluntarily without prospect of alternative employment. It is proposed that all of the above, and perhaps other, possibilities should be explored by the University's financial officers in the near future.

It must be frankly recognized that some of the measures just suggested would involve a very real degree of hardship and sacrifice on the part of many faculty members. But if they were adopted, they might well help to avert the even harsher consequences of compulsory unpaid leaves or terminations imposed at relatively short notice, and the traumatic effects of these upon institutional morale. Under the kind of plan adumbrated here, individuals would have far longer to make provisions for periods of unpaid leave, either through personal savings plans or by finding alternative means of employment. Moreover, by avoiding the necessity for compulsory unpaid leaves or terminnations, a voluntary unpaid leaves plan would do much to protect the excellent existing provisions for paid sabbaticals. For it will become increasingly difficult to justify the granting of paid leaves, should the University find itself driven to enforcing unpaid ones. A voluntary unpaid leaves plan also enables faculty members to disengage themselves for shorter or longer periods from the University, without thereby denying themselves all hope of an academic future, and without compromising their professional status for as long as their names remain on the University's staff list. Such a plan is also preferable in many respects to freezes or reductions of salary across the whole faculty, since it is more adaptable to the needs and preferences of individual members, and it maintains salaries - at least notionally - at levels comparable with those of other institutions. But if it is to alleviate the University's financial problems singificantly, it will need a sustained and concerted effort on the part of as many members as possible for at least a decade to come.

F. Summary of Proposals

1. A systematic policy for the facilitation of voluntary unpaid leaves, either partial or complete, should be developed as a matter of urgency.

2. Those taking voluntary unpaid leave will normally be replaced, at least partially, within their own departments regardless of enrolment.

3. Departments should receive an appropriate portion of a position for each of their members on unpaid leave, and an appropriate part of the salary for a junior replacement. The difference between this figure and the salary released should be reallocated within the instructional salaries budget, as the Dean may recommend to the Budget Committee.

4. Individuals taking partial or complete unpaid leave should have their pension and insurance contributions made good by the University, so that they can maintain full entitlement under the relevant plans.

5. Years of unpaid leave, when used for academic professional development, should be reckonable as 'earned years of service' for the accumulation of sabbatical credits.

6. Replacement appointees hired on a stipend per course basis should be paid in due proportion to the reduction of a regular staff member's load, normally at least one third of a lecturer's salary per course taught ($4,500 on current figures).

7. Departments should encourage those whose circumstances make it possible to take unpaid leaves in rotation so as to provide replacement positions for at least two courses, preferably for two-year terms under the provisions suggested in (6) above.

8. Individual faculty members should be encouraged to give thought to methods of making financial provisions for periods of unpaid leave, in the hope that such leaves might be taken by some 20% of the faculty annually.

9. The University's financial officers should explore various ways in which individuals could be assisted in making the necessary provision, including 'spreading' or 'banking' of their salaries on request, and the payment of Unemployment Insurance Commission benefits to them while on unpaid leave.

APPENDIX

LEAVES TAKEN 1970-78

Department	Fully Paid	Partly Paid	Unpaid	Total
Anthropology	2.5	5.5	.5	8.5
Biology	5.0	2.0	0.0	7.0
Chemistry	5.5	1.0	1.0	7.5
Classics	4.0	4.0	0.0	8.0
Economics	2.0	1.0	1.0	4.0
English	6.5	5.5	3.0	15.0
Geography	3.0	1.0	3.5	7.5
History	6.0	5.0	1.5	12.5
Mathematics	6.0	1.0	0.0	7.0
French	4.0	5.0	1.0	10.0
German	2.5	1.0	0.0	3.5
Spanish	.5	2.0	2.0	4.5
Native Studies	0.0	3.0	1.0	4.0
Philosophy	6.0	6.0	5.0	17.0
Physics	4.0	0.0	0.0	4.0
Political Studies	2.5	3.0	7.5	13.0
Psychology	7.0	4.0	0.0	11.0
Sociology	3.5	3.0	8.0	14.5
Total	70.5	53.0	35.0	158.5

Notes

1. The total number of paid sabbaticals in 1970-78 has been 123.5 (70.5 fully paid + 53.0 partly paid), an average of 15.4 annually. This constitutes an annual average of 8.6% of present total faculty.

2. 35 wholly unpaid leaves have been taken in 1970-78, an average of 4.4 annually. This constitutes an annual average of 2.4% of present total faculty.

3. The gross savings on wholly unpaid leaves in 1970-78 have been $738,000, an average of $92,000 annually. This makes the average gross saving per unpaid leave some $21,000.

III. VOLUNTARY EARLY RETIREMENT

Voluntary early retirement schemes are not unusual in government, business, or the armed forces. At present, O.S.S.T.F., O.C.U.F.A., and a number of universities are investigating proposals similar to the one outlined here. The ability of an individual to opt for early retirement depends not only on the scheme available but on individual circumstances. In general, voluntary early retirement does assume that the individual has alternative employment, a second career. The purpose of the scheme is to protect and enhance the pension rights already built up, so that voluntary termination of employment does not involve severe loss of these rights, and eventual financial hardship.

We are specifically concerned with an existing provision in the Trent pension plan that permits retirement at any time after age 55. In practice, this provision is a strong disincentive to seek alternative employment, let alone to take early retirement; there is a severe reduction in the amount of pension, accompanied by inflationary erosion of the reduced pension (see section 2 below).

But it is possible to introduce more flexible retirement provisions that would enable some faculty to take either complete or partial early retirement, on an entirely voluntary basis, with much greater protection for their pension income than now exists. This can be done without financial cost to the University; at the same time, it can present an opportunity to hire younger faculty, should replacements be necessary. The scheme set out below is based on the existing pension plan, and on the existing leaves policy.

1. Summary of the Proposal

Under this proposal, known as a Voluntary Early Retirement Scheme, the faculty member ceases to be employed by the University; that is, probably takes alternative employment. The intent of the scheme is to increase the opportunity for a second career, and to enable a person to defer drawing a Trent pension until normal retirement age.

The central point of the proposal is that the University assumes the full cost of pension premiums, that is, the individual's share as well as the University's share. This means that for each year up to age 65, the individual though no longer on salary, acquires an extra year's service for purposes of pension entitlement. The annual premiums are not fixed but are subject to upward adjustment that will reflect increases in salary scales between the date of early retirement and age 65. For pension calculation purposes, the best 5 of the last 10 years of service will be in respect of the age range 55 to 65, rather than the ten years prior to early retirement.

It should be noted that the option of taking a reduced pension prior to age 65 remains. However, the early retiree will now benefit by the extra years of pension credit acquired under this proposal, as well as by any potential upward adjustment in salary levels that occur between the date of early retirement and the date that the person decides to draw the Trent pension.

If this proposal is to become available to academic staff, the University would, presumably, wish to extend similar flexibility to non-academic staff.

2. Early retirement under the existing pension plan

A member of the Trent plan can opt to retire at any time after age 55. Disregarding Canada Pension, the pension payable is determined by the number of years of service at Trent, multiplied by 2 percent of the average salary of the best five of the last ten years.[1] Retirement at 55 means that the best five years occur between 45 and 55. Also, the pension payable is reduced by half of one per cent for each month of early retirement; this is known as the acturial reduction. Thus, *at age 55, the pension is reduced by sixty per cent, the reduced pension is based on salary prior to age 55, and on pensionable service prior to 55*. Although the University has recently introduced a modest supplementary pension, it is not known to what extent the resulting *per centage* increase in the amount of Trent pension will consistently keep pace with the *per centage* rise in the cost of living. In any case, the supplementary pension does not compensate for increases in salary levels, and future associated pensions, that occur after the date of early or normal retirement. The financial burden of early retirement under the present provision of the pension plan is illustrated in section C of the Appendix.

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[1] The Trent pension plan alone provides for a pension of 1% of final average earnings up to the maximum salary level on which Canada Pension Plan contributions are required, and 2% of final average earnings beyond that level, all multiplied by a member's years of service.

3. *A proposal to facilitate complete early retirement*

Assume that a faculty member is age 58; under the current salary grid, the salary might be approximately $38,000 (D23), plus perhaps 10% in staff benefits. If this person were to be interested in either full or part time alternative employment, probably at a considerably lower salary, *the Trent salary is only likely to be voluntarily surrendered if the Trent pension can be protected*. It is proposed that the University continue to pay the full (individual plus university) pension contributions to the Trent plan; to do this would cost approximately $4,000 a year. Years of pensionable service would continue to accumulate until age 65, when the person would receive a full pension based on years of service *to age 65*, and on 2 percent of the appropriate salary for a person at *D23 at that time*. The $4,000 annual contribution to the pension fund will increase in step with any salary increases, as it does for a faculty member who continues full-time teaching to age 65.

In addition, it is proposed that the early retiree continue to receive an annual sabbatical credit. Existing policy provides for a double credit in the 60th year with no credit during the last two years before normal retirement age. In the example discussed here, the early retiree would receive six credits by age 65; at 10 per cent of salary this provides an income of $3,800 per year.

The third element of the proposal is that any sabbatical credits that may have been accumulated up to the date of early retirement be paid in a lump sum, if the individual so wishes, either as a retirement benefit or as a long service benefit. For example, if 9 such credits had been accumulated, full salary for one year could be transferred to an Income Averaging Annuity Certificate that is likely to provide an income of about $6,000 per year for the seven years to age 65. In addition, there is the $3,800 annual income from the annual EYS credits mentioned above. Some individuals may wish to use their accumulated EYS credits in the usual way, as income received in one year; others may wish to negotiate some other method of pay o out for their EYS credits. A detailed example of the financial aspects is to be found in the Appendix.

4. Partial early retirement

Some faculty are interested in partial early retirement. For the purpose of this proposal, let us assume that faculty age 55 and over be given the option of a half work load with half salary. Of course, a two-thirds load or a one-third load are among other possibilities. The meaning of a partial load is not entirely clear, but we assume that this can be agreeed among the individual, the Department and the Dean. Applying the proposal discussed in section 3 above to a partial early retirement of one half load, the individual would receive a salary of $19,000 (half of D23), plus a full sabbatical credit in the usual way. In addition, the University would continue to pay pension and other benefit contributions, including the individual's share, in respect of the $19,000 salary foregone. Again, a partial replacement may or may not be necessary, but there is no reason not to expect a net saving to the University.

5. Cost to the University

Under this proposal, the University incurs an annual cost, in the case of the complete early retirement example of section 3 above, of approximately $4,000 for pension contributions. In addition, there is the cost of $3,800 for sabbatical credit. There may or may not be the cost of a partial or full replacement for one or more years, for the early retiree. The University may wish to insist that an early retiree be replaced, if replacement is necessary, by a junior, or sessional, or part time person depending on the circumstances of the Department and the University. Whatever the actual magnitude of these costs in an individual case, including administrative costs, there is no doubt that they are more than offset by the fact that the University ceases to pay a salary of $38,000 plus associated benefits. Costs are explored more fully in the Appendix attached.

The potential additional costs in the future associated with possible salary increases, that is, maintaining pension and sabbatical credits in real terms relative to those of faculty members who continue in full time employment with the University, have to be taken into account. However, the time period involved is unlikely to average more than five years, and the savings to the University of this proposal are so substantial that this potential additional cost is also likely to be more than offset. In any case, costs and savings to the University must be related to salary and benefit costs had a faculty member continued at Trent on full load and full salary, not to salary costs before or at the date of early retirement.

6. Conclusion

For faculty age 55 and over, the proposal offers some flexibility in career and retirement planning. For Departments and the University, it represents an opportunity to hire younger, less expensive, faculty. Despite the potential cost of linking pension contributions for the early retiree to future possible salary increases, albeit for a limited period, the proposal ensures a financial saving to the University when compared with salaries and benefits that would have to be paid if early retirement continues to be strongly discouraged by the existing pension plan.

It should be stressed that this proposal is subject to revision as its relevance to other possible changes in employment conditions at Trent become clearer, and as details become available of similar schemes for the teaching profession generally.

APPENDIX

A. Financial aspects of complete early retirement:

i) Payments to or on behalf of the individual opting for early retirement under this proposal, e.g. at age 58.

If an earlier age for early retirement, say 55, is selected, the potential saving to the University is somewhat larger; complete early retirement at a later age, say 61, somewhat reduces the saving to the University.

1. Annual pension fund contribution	$4,000
2. Payment in lieu of EYS, annual	$3,800

ii) Payments to a replacement. An early retiree will not inevitably require a replacement but if a replacement is necessary, it will normally be at a junior level; also, a replacement may not be necessary each year.

Assume replacement, full time, at BO	($16,350)
plus 10% benefits, i.e. approximately total cost	18,000

iii) Salary and benefits if senior faculty member continue full time; $38,000 plus $3,800 staff benefits, i.e. approximately $41,800 total cost.

iv) Net saving to the University, $16,000 each year, i.e. $41,800 (iii) less payments $7,800 (i) and $18,000 (ii).

This saving continues annually to age 65, unless the early retiree decides to take a reduced Trent pension. In that circumstance, the University will replace (to the extent that it is necessary to hire a full time replacement) a senior faculty member with a younger person at a significantly lower salary.

B. Financial effects of partial early retirement:

Assume age 55, salary D20 ($37,225 plus 10% benefits)

i) Salary and benefits if faculty member had continued full time; $37,225 plus $3,725 (total $40,947)

ii) If half time, half salary plus benefits as in (i) Entitlement to full EYS continues as under (i); $18,612 plus $3,725 (total $22,337)

iii) Cost of replacement; this can range from zero to half salary for an Assistant Professor; although it may not be necessary in every year, assume half of B0 plus 10%, i.e. $9,000.

iv) Net saving to the University, $9,610 per year.

C. Comparison of complete early retirement under existing provision of Trent pension plan and under change proposed in this paper

i) Present pension plan; complete early retirement at age 58 after 18 years service; salary D23. Trent pension calculated as per footnote page above (different age, service, salary yield different results):

- approximately $6,900 per year at age 58
- approximately $11,900 per year if deferred until age 65

ii) Age, service, and salary level as in C(i) but applied to proposal of this paper:

- approximately $6,900 if taken at age 59; that is, no change from results under (1);
- approximately $16,500 per year if deferred to age 65; this assumes constant salary scales; if salaries and benefits adjusted upwards the pension at 65 will reflect these increases; this is not the case for early retirement under the present pension plan.
- approximately $13,500 if deferred to age 63; in this case, the person retiring at 58 might take other employment (full or part time), might have used accumulated EYS to purchase a five year I.A.A.C. which together with the annual EYS equivalent and R.R.S.P. might have provided adequate income to age 63. The C.P.P. and OAP become available at 65 and are additional to the Trent pension.

IV TERM AND SESSIONAL APPOINTMENTS

To be circulated later.

V. PROCEDURES FOR PERIODS OF FINANCIAL NECESSITY

A. Introduction

In making its recommendations in this part, the task force has been influenced by the budgetary experience at Trent University over the last few years, by the contracts agreed at the unionised Ontario universities, and by the CAUT guidelines. If at any time, financial pressures seem to require the lay-off or a reduced workload for regular members of faculty, it is essential to have some procedures for independent review of the alleged need. The procedures suggested in this part follow closely the CAUT guidelines and the York University contract. One significant difference from the York contract occurs in Clause 8, where academic priorities as well as seniority are included as an important consideration in deciding which individuals should be effected. A difficulty occurred in deciding which procedures were appropriate for all employees and which just for faculty. Logically, perhaps only faculty should have been mentioned, but in the absence of associations representing all other employees, procedures which seemed appropriate for all employees have been stated as such.

B. Recommended procedures for periods of financial necessity.

1. If the President, after consultation with the A.T.S. Executive, judges that the University's financial situation is such, in terms of gravity and the likelihood of its long term continuation, that the University's academic purpose is threatened, he will recommend to the Board, and report to Senate, the declaration of a state of financial necessity, whereupon the procedures of this part will become operative.

2. The Board of Governors and the A.T.S. Executive will establish, within 2 weeks of the declaration, an independent financial commission of 3 members. In the event that the parties cannot agree upon 3 people to serve on the commission, each party will name one member, and the 2 so named will choose a chairman.

3. Within 2 weeks of its establishment, the commission will hold its first meeting to consider the extent to which the University's financial situation requires or will require a re-

duction of salary commitments. The commission will report its findings to the Board of Governors within 60 days of its first meeting.

4. The commission will have access to any and all financial data it deems to be relevant to its study, and shall have the power to call for submissions from any individuals or groups it chooses. The commission will invite and consider submissions on the University's financial situation and possible remedies therefor. It will consider:

a) whether all reasonable reductions have been made in areas of the University's expenditures other than academic salaries, bearing in mind the primacy of the academic purpose.

b) whether the maximum appropriate advantage has been taken of the reduction of salary commitments through normal attrition, or voluntary early retirements and unpaid leaves.

c) whether appropriate means of increasing University revenue have been adequately explored.

d) whether interim deficit-financing is a realistic avenue for the solution of the financial problems.

e) whether every effort has been made to secure further assistance from the provincial government.

f) any other matters it deems relevant.

5. The commission will report to the Board its findings as to whether the University's financial circumstances constitute a problem sufficiently grave that the University's academic well-being will be endangered unless salary commitments are reduced, and, if so, will recommend the amount of reduction necessary.

6. Following consideration of the commission's report, the Board of Governors may act to declare the necessity of a reduction of salary commitments and will indicate the amount of salary reduction to be achieved, which amount will not be greater than an amount that would reduce the instructional salaries and benefits budget, as reported on page 1.2 (ii) of the Open Budget, below 55% of total operating expenses.

7. Following the Board's declaration of financial necessity, a committee on faculty complement, composed of the Dean and 3 nominees of the Faculty Council Executive, will advise the Dean on the academic areas of the University to be affected. Similar committees may be established to advise the President on other areas of the University.

8. The Dean will ask the chairmen of affected departments to initiate discussions with all faculty in their areas. In the light of these discussions, and on the grounds of academic merit, tenure and length of service, and contributions to the department and university, and in the light of the department's or programme's academic priorities, the chairmen will place specific recommendations regarding terminations, enforced leaves, partial workloads, or early retirement before the Committee on Faculty Complements.

9. All faculty members in those academic areas affected will be apprised of the chairman's recommendations, and will have the right to appear before the Committee on Faculty Complements. The Committee will explore all possible alternatives in each individual case, and will then forward its recommendations to the President.

10. The President will write to each employee designated for lay-off or enforced workload reduction, indicating his intention to recommend to the Board of Governors certain action, and stating that the action is for reasons of financial necessity alone. The President's letter will be delivered to the employee by 30 June, and will serve as notice of lay-off or other enforced workload reduction 12 months hence, effective 1 July of the next academic year (unless salary is being provided in lieu of notice).

11. Within 30 days of receipt of the President's letter, an employee may appeal the decision, by recourse to the established appeals and arbitration procedures available within the University. The Appeal or Arbitration committee has the responsibility to satisfy itself that:

a) the Board of Governors did properly establish that a reduction of staff complement was necessary;

b) the Committee on Faculty Complements or other appropriate committee did allow adequate consultation and representations;

c) recommendations made at departmental level were made through fair and equitable processes.

12. An employee who has been laid off for reasons of financial necessity will receive:

a) 12 months' notice as specified in clause 15 above, or 12 months' salary in lieu of notice, plus

b) one months' salary and benefits for each year as a full-time employee at Trent University, to a maximum of 12 months' salary. Employees who are placed on an enforced partial workload will receive this additional compensation on a pro-rated basis.

c) an employee scheduled for complete lay-off who reaches age 55 before the expiry of the 12 months' notice may opt to take early retirement under Part III above, as an alternative to the compensation of subclause b) above.

B. Within a period of 6 years following termination, members of faculty whose appointments have been terminated for reasons of financial necessity will be given first refusal should a vacancy arise in the department or programme of their previous service with no reduction in status. During this 6 year period, the member of faculty will continue to have full access to library, laboratory and computer facilities and where possible, office space. All laid-off employees will be entitled, but not required, to maintain membership in any or all of the University's benefit plans from time to time in force, on the same terms as full-time employees, for a period of 6 years after lay-off.

Volume 31, Number 2
October 1978

Published by the American
Association for Higher Education

AAHE BULLETIN

IN BRIEF

- "Faculty Retraining in Four States," by Charles B. Neff, p. 1
- "On Increasing the Number of Women in Educational Administration," by Garry D. Hays, p. 1
- Trends and Findings from recent studies and reports, p. 2

FACULTY RETRAINING IN FOUR STATES

By Charles B. Neff

Traditionally, individuals have decided when and if to shift scholarly fields as their academic interests have changed. Some persons have made very substantial mid-career changes—from physics to biology, from English to philosophy, from sociology to political science. But until recently there has been little expectation that field to another), preserving accumulated knowledge while adding new capability. Four university systems—the State University System of Florida (Florida), the State University of New York (SUNY), the State University College of Pennsylvania (Pennsylvania), and the University of Wisconsin System (Wisconsin)—have accu-

Faculty Retraining
(Continued from 1)

allow tenured faculty in areas of sub- and declining enrollments to retrain in related disciplines and sub-disciplines of growing or high enrollment. The program was seen as a partial alternative to the retrenchment of faculty.

Pennsylvania – A special foundation, The Pennsylvania State College Educational Services Trust Fund, was established as a joint union/management venture in response to a retrenchment plan for the laying off of 82 faculty members from the 14 State-owned colleges and university. (The retrenchment was subsequently cancelled)

Wisconsin – An organized faculty retraining effort was developed as one of several means employed by the system in an effort to retrain tenured faculty designated for layoff. Eighty-eight tenured faculty were designated for layoff in 1974. A new program for faculty retraining emphasizing development and renewal has recently been initiated.

The Period Covered by the Faculty Retraining Program

Florida – The Florida retraining program is no longer in operation. It operated during the academic years 1974-75, 1975-76, and 1976-77.

SUNY – After a year of planning, a retraining program was initiated in the academic year of 1977-78. A second group of faculty is now being chosen for the program in the year 1978-79.

Pennsylvania – Retraining was supported on the 14 State-owned campuses during the spring and summer semesters of 1976, with a few programs carrying over into the fall of 1976 and the spring of 1977. A smaller retraining program has continued in 1978.

Wisconsin – The Wisconsin program divides into three distinct periods. During the first, 1973-76, the system supported the program. During the second, 1976-78, institutions supported limited retraining programs with their own resources. The third commenced in 1978, during which the system has received legislative funding for a broader faculty retraining program with funding shared by the system and the campuses.

Number of Persons in Retraining Programs

	1973-74	1974-75	1975 76	1976-77	1977-78	1978-79 (Est.)	Total
Florida		9	5	4			18
SUNY					13	15	28
Pennsylvania			11	4	3		18
Wisconsin	2	19	7	1	7	50	86
Total							150

Representative Retraining Programs

	Old (sub) Field	New (sub) Field
Florida	Graphic Arts	Photo Journalism
	Foods & Nutrition	Hospital Dietetics. Metrics in Food Preparation
	Pharmacy	Radiopharmacy
	Nutrition	Hospital Dietetics
	Social Studies Ed.	Language Education (Reading)
	Elementary Particle Physics	Medical Physics
	Behavioral Sciences	Communicology
	Health & Physical Ed.	Adaptive and Therapeutic Rec
	Biology	Physical Education
	Automotive Tech.	Science & Tech
	Systems Science	Computer Software; Business Applications
	Mathematics	Computer Science & Mathematics
	Elective Physical Ed.	Movement Science (Exercise Physiology)
SUNY	European History	Anthropology and Geography
	Physical Ed	Recreation
	Sociology	Business Administration
	Elementary Ed.	Speech and Dramatic Arts
	German	Student Personnel Services
	Latin American History	Economics; Sociology
	English	Journalism
	German	English
Pennsylvania	History	Chemistry
	Psychology	Laboratory Education
	Philosophy	Psychiatry
	Philosophy	Humanistic Psychotherapy
	Mathematics	Computer Technology
	History	Communications

Process for Selecting Retrainees

Florida – Selection of retrainees was made by the Board of Regents office from slates of nominees presented by the respective university presidents.

SUNY – Guidelines were developed and circulated to campuses on the basis of which candidates were nominated to the central administration. An advisory committee, in the first year consisting of representatives of all campuses involved and in the second of selective campuses, made final recommendations on the basis of which participants were chosen.

Pennsylvania – Candidates have been selected for retraining through a grants competition. Proposals are initiated by faculty members in consultation with appropriate departments or units, then reviewed by the campus administration and the director of the Educational Services Trust Fund, with final decisions made by the trustees of the Fund.

Wisconsin – Selection procedures have varied. During the initial phases, when layoffs were paramount, each case was considered on an individual basis and the availability of a guaranteed position after retraining was a controlling factor. Each retraining program was negotiated between a representative of the system and the separate campuses. During the second period, selection of candidates was almost totally decentralized, though the system made a strong effort to encourage each campus to make explicit its changing educational needs. During the third phase, which is currently commencing, recommendations will be made at the institutional level and proposals will finally be accepted by the system administration. (A system-wide task force may be established for the review of these proposals.)

Costs of Retraining

Florida – Salary plus $3,000 (average) for general support.

SUNY – Salary plus tuition waivers (within SUNY only) plus $2,700 (average) for travel, books, etc. (range $1,500-$4,100)

Pennsylvania – Salary plus $2,000 (average) for tuition, books, travel (range $150-$7,200)

Wisconsin – Salary plus tuition.

Average Length of Retraining

Florida – In most cases, one year.

SUNY – Three weeks to fifteen months, with an average of between one and two semesters.

Pennsylvania – An average of one semester, with a range of one semester to two semesters plus a summer.

Wisconsin – A usual length of two semesters, with two semesters and two summer sessions as the longest program. There have been a few single semester programs.

Financing of Retraining

Florida – Salaries have been paid by the campuses, with additional expenses appropriated from State funds.

SUNY – Salaries have been paid by the campuses. Tuition waivers have been granted within SUNY by the University and special expenses paid by a Federal grant.

Pennsylvania – Campuses have paid for released-time, sabbatical, or special administrative leaves. The Educational Services Trust Fund has made grants for tuition, books, and travel.

Wisconsin – In the first phase, the system administration financed a total effort, although faculty salaries were technically charged to institutional budgets. During the second phase, institutions underwrote the costs from their own budgets. In the third phase, institutions and the system administration will share costs jointly.

Where Has Retraining Occurred?

Florida – Most programs have been completed at out-of-state institutions. Fewer have been completed at senior institutions within the State.

SUNY – The SUNY/FIPSE project has been based on the assumption that retraining could occur within State University of New York. This has been true in over one-half of the cases. Other retraining has occurred at out-of-state universities or at private institutions in New York.

Pennsylvania – Most retraining programs have occurred at private or State-related institutions within Pennsylvania. About one-third of the programs have occurred out-of-state or out-of-country.

Wisconsin – By the nature of the grants available, all retraining occurred within the State of Wisconsin or in Minnesota institutions which have signed a reciprocity compact for tuition. In a few cases, individuals elected out-of-state institutions and had to pay their own tuition.

Working Conclusions

From the experience derived thus far in the four retraining projects described above, we have derived the following working conclusions. They are called working conclusions because they still have to be further tested by time and by more careful evaluation. They do seem to us to be the basis for further development of faculty retraining projects.

(1) Faculty retraining does work. We need not be conservative or afraid in suggesting it as one of several strategies for institutional and individual change, which collectively may provide higher education in America with a more viable future.

(2) No new program begins without misunderstanding as to purpose and some overt resistance. Faculty retraining is no exception. There is still some degree of suspicion about whether it is not a euphemism for layoff, retrenchment and budget cutback. No one particularly likes the name, but there seems to be no better substitute. Over time, it is probable that faculty retraining, like the term faculty development before it, may gain acceptance through use.

(3) Faculty retraining programs will not begin without some commitment to retraining in principle and without resource investment in planning for it. It takes time for people to absorb the positive potential of limited faculty retraining and to endorse it. The support of a staff or staff persons to discuss desirable outcomes of faculty retraining is a vital first investment. There is no substitute for person-to-person contact in developing retraining plans and for laying the groundwork upon which useful retraining can be built.

(4) Financial exigency is a powerful motivator. Without it, all but a few faculty members are unlikely to accept retraining and its purposes as a legitimate form of professional development. But if financial exigency sensitizes individuals to the potential for faculty development, it cannot be the principal justification for it. Faculty retraining can be not only quantitatively crucial, i.e., moving human and other resources from low demand to high demand areas, but it can be qualitatively crucial as well. Program improvement can also accrue as a result. Most importantly, individuals can get a new lease on life.

(5) It is important in planning retraining programs to identify fields rather than individuals. Retraining will not work as a draconian measure that will force a person to do something he or she would not be willing to do otherwise. By indicating opportunities rather than requirements, individuals who are interested and adventuresome enough will make use of those opportunities.

(6) Retraining is not a means for doing away with or improving bad teachers. Usually the persons who are willing to consider retraining are those who are already quite secure and who might engage in modes of effective professional development, even without a retraining project. Their willingness to move from one field or sub-field to another removes financial and other pressures, which then makes it possible for other forms of beneficial educational change to occur in a less constricted atmosphere.

(7) Retraining works best in a multi-institutional framework. Like many programs, retraining seems to benefit from being a group activity in which individuals who are in the project can communicate with one another and provide support. Use of a multi-campus setting also allows institutions, collectively, to make their educational resources available for retraining; there can be savings in program cost through tuition waivers.

(8) Retraining of tenured faculty members – statistically, most of them are likely to be established, white and male – could be viewed as conflicting with affirmative action goals. Such would be the case if retraining became an extensive program. The likelihood of that occurring is slight. On the more positive side, if faculty retraining allows academic programs to become more viable, more attractive to students, and educationally more effective, positions may actually be saved overall and they could become filled, in part, through affirmative action programs.

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APPENDIX H

Report of the
Committee on Carleton
University to 1982

ACADEMIC CAREER PLANNING

FACULTY RETRAINING AND MOBILITY

Within the university, faculty mobility may involve any of the following steps:

1. Movement from a discipline or faculty experiencing soft demand to a discipline or faculty under growth pressure.
2. Movement from a primarily teaching-research role to a primarily academic support function.
3. Movement from a primarily teaching-research role to a primarily administrative role, and finally
4. The restructuring of the role of a department or unit to meet a different profile of demand.

This paper will analyse each of these in turn and then take up some possible alternative responses to "underloading" of a unit within the university that do not involve retraining.

(1) Movement from one discipline to another

Any analysis of this problem must begin with the recognition of two barriers. First there is the natural reluctance of a faculty member to part with, or even move away from, the very large investment of time, energy and money which his disciplinary expertise represents. The very long training and apprenticeship period required to arrive at the level of an independent scholar in a discipline can be compared only, among other professions, to medical specialities. Nonetheless, this is the lesser barrier. The greater barrier is the reluctance of the receiving group to accept the "retrained" scholar in preference to one with the standard background, apprenticeship and credentials (including acquaintenships) of their discipline. This attitude is partly prejudice but it contains a real and meaningful concern for standards of education and mutually beneficial scholarly collegiality. The problem is not new. We encounter, here, the same problem that leads to the criticism of "service courses" on the grounds that the teachers do not fully appreciate the needs of the students from another discipline.

In order to overcome these barriers, the mobility must be encouraged on a long range basis. It will take time. The idea of a "retraining" sabbatical or special leave followed promptly by a transfer will probably not work except in a crisis, and will then be resented and resisted by the receiving unit. If it is possible to project areas of strong and wea[illegible]mand for faculty over periods of ten years, retraining could become the responsibility of the faculty of graduate studies and research in conjunction with the appropriate regional Dean in a manner that would be intrinsically beneficial.

The faculty of graduate studies and research can attempt to identify related areas (e.g. physics and engineering, spanish and linguistics, philosophy and psychology) where demand is weak on one side and growth is occuring on the other. Special funds can then be allocated to support joint research ventures between individuals in the related areas. Especially, of course, attention should be given to projects which have clear application in the growth area. (In humanities areas where collaborative scholarship is less common, funding of joint graduate seminars including response to their library needs is an alternative to research grants.) The funds required for this approach can be less than amounts that would be needed to grant study leaves involving similar numbers of faculty.

The follow up to a program of joint research should be strong pressure from senior administration to encourage the transfer, on a temporary basis, of faculty who have gained insights into the receiving unit through research collaboration. Sabbatical replacement is an obvious possibility. One point is important. To persuade the receiving unit of the seriousness of purpose of the enterprise, it is important that the transfer of a retrained faculty member not be simply on a "one course" basis. If the receiving unit has a physical location (a building) the transferee should move there. The transferee should also take up committee assignments and housekeeping duties in the receiving unit. Eventually, full transfer may become quite natural. If it doesn't the new research will probably have been productive in its own right, and the temporary transfers will have been ameliorative.

The previous section has dealt with an approach to mobility via a "research route". Complementary to the research route there exists a "teaching route" which ranges from an individual teaching a course within the jurisdiction of a department other than his/her home department to the full transfer of the individual, primarily for teaching duties, to another department. A method facilitating this approach would be to involve each Dean more closely in the process of allocating teaching assignments within the appropriate Faculty. Inter-Faculty teaching could be arranged by Deans, Directors and Chairpersons in the light of the Deans' detailed knowledge of teaching assignments.

A final comment is very important. Despite first impressions, there is a history of academic transfer in the modern departmental university. It has been fullest and most successful in the newly emerging disciplines that have not yet fully developed standard patterns of apprenticeship. One can cite in a semi-historic succession, symbolic logic, operations research, computer science, and environmental engineering. If the university is wise, it will actively search out such new opportunities as a very profitable field of "retraining" and then try to find ways to impose high critical and academic standards for the new ventures.

(2) Movement from a primarily teaching-research role to academic support

This is a less general option than the preceding one but it also is associated with fewer and lower barriers for the planner. The support functions envisaged range from registrarial to instructional aids and instructional development.

At the registrarial end of the spectrum, the crucial decision is within the direct competence of the senior academic administration. That decision is to return to the traditional definition of the student advice and student program supervision functions as being faculty functions to be assigned to interested individuals in conjunction with a substantially reduced teaching load. This is not a new model. It has some disadvantages and some advantages which probably approximately balance. All of these are widely known in the university community.

At the other end of the spectrum, initiatives in areas of instructional technology and instructional development usually arise from within the faculty. During the period when universities have been comparatively rich, there has been a tendency to respond to the demands for special expertise created by these initiatives by hiring professionals in support roles. Retraining is an attractive alternative. Interested faculty from areas of soft demand can be encouraged to take leave to acquire skills of the professional and return to the university in the position of combining these new professional skills with their earlier direct experience of the circumstances from which the needs arise.

A main problem in this area is monitoring of vacancies. Every university concerned with prospects for faculty mobility should be concerned with review of every vacancy that arises in professional academic support staff. The power to appoint to fill such vacancies should be in the academic not the administrative sector of the university. Appointments should be presidential under a structure responsible to the senior academic administrator. (viz. the vice-president academic) not the personnel office responsible for support staff in general. To maintain control, professional should probably be operationally defined as any academic or instructional support position with a salary ceiling greater than the floor for assistant professor. Regular accounting of all such appointments not only to monitor mobility but also to monitor subtle erosion of instructional budgets is now wise.

(3) Movement to primarily administrative roles

Senior academic administration and certain middle posts such as directors of planning have always been recruited predominantly from teaching faculty. It would not be foolish to add the needs of the unit from which an administrator is recruited to the terms of reference of search committees. Close decisions might be resolved in the best interests of the university on the basis of whether or not the candidate would need to be replaced in his department. The prejudice implied here in favour of *internal* as opposed to *external* recruiting is obvious and hopefully already operates.

Movement of faculty into non-academic administration is little explored. Often, specific retraining opportunities would need to be offered to make the prospect realistic. However, the advantage in understanding associated with having ex-academics in "business" posts and the added credibility they could command in academic circles recommends the experiment. Granting a leave to an appropriate academic with a promise of a senior administrative post on return should receive the close consideration of the university, and not just with a view to faculty mobility. Many successful university presidents are themselves proof that academic can successfully take responsibility for the financial side of the university.

(4) Changes to adapt to demand

Another strategy to respond to weak demand is movement of an entire unit into new areas of interest without a change in any administrative arrangements. A good example is the shift of classics departments from emphasis on language and literature to emphasis on archeology and classical civilization. This is usually the first option canvassed by a unit under pressure. One must only guard against false optimism for this approach becoming a barrier to effective exploration of other possibilities.

(5) Demand Control

The need for mobility of faculty can, of course, be minimised. Based on inter-university comparisons it is not at all clear that the university suffers from an excess of faculty. As the above considerations imply there are usually areas of growth along with soft areas. The responses above require that long term trends can be identified. Especially in general undergraudate arts and science programs, where some of the most serious problems arise, long term projection is difficult because there is a large element of student faddism.

Fads are not necessarily educationally valid. In program areas where the main concern is the soundness of a student's tertiary general education (as opposed to professional training) the university may simplify its internal problems by replacing the cafeteria curriculum by a "table d'hote" menu. This can be defended on pedagogic grounds too, and it need not mean a simple return to the required courses of the last phase (1950's) of the enthusiasm for compulsory general education. Fresh and exciting contemporary syntheses are not only possible but will be greatly facilitated by developments in the university during the latest phase of curricular anarchy.

(6) Underload

The alternative to demand control that does not require faculty mobility is action to control underloading in selected areas without permanent release of faculty. Especially where underloading is a result of what may be temporary movements in student preference, or threatens to cut (even by "painless" attrition) a department's complement below a level allowing full coverage of a field and an adequate base for scholarship, underload control is essential. Such action is very often attractive in much less desperate circumstances. Two schemas recommend themselves; increased sabbatical frequency without any significant net increase in benefits and vigorous pursuit of contract activity. The second is less well explored at Carleton.

Although the approach taken will vary widely among academic disciplines, it is reasonable for the university, which frequently acts as a consulting agency anyway, to attempt to market its services in order to maintain the integrity of its complex unit. A detailed prescription cannot be given here. Rather, it can be recommended that a group under the leadership of a faculty member with a record of success in attracting consulting contracts be set up in the university to identify opportunities, encourage initiatives and assist less experienced colleagues.

Conclusion

The group has given some thought to the implementation of the approaches outlined in the report and suggests the following actions be considered:

1. That a collaboration group be formed comprised of Deans of Graduate Studies, Engineering, Social Sciences and two CUASA representatives. That they be funded to sponsor academic collaborations with mobility potential.
2. That academic ranks be canvassed prior to filling of any academic support and administrative vacancies with emphasis of filling the posts by partial transfer.
3. All committees for senior academic administrative appointments conduct an internal search prior to outside advertising of vacancies.
4. That Senate be asked to undertake a fresh study of required courses in Arts and Science in the light of perceived needs for the 1980's.

ATTACHMENT B

WORKING PAPER
April 27, 1978

ACADEMIC CARREER PLANNING

REDUCED TIME APPOINTMENTS

1. It is presumed that encouragement of reduced time appointments (particularly in the non-growth areas of the university) is a goal of all parties.

2. At present the collective agreement provides the following:

   a) All members of bargaining are eligible for reduced time appointments and approval shall not be unreasonably withheld by employer.

   b) Reduced time appointees shall be paid a prorated share of their nominal salary being determined exactly the same way as for reduced appointees i.e.: qualifies for both CDI and merit.

   c) Unless prohibited by carrier, reduced time appointees receive same benefits and university makes same contribution as a full-time member of bargaining unit.

   d) For Carleton Retirement Plan - appointee elects to contribute 6% of his nominal salary or 6% of his actual salary; employer matches contribution; years of service for purpose of payout are determined by employee's contribution decision.

   e) Sabbatical credits are earned as if the appointee were full-time and would be paid X% (currently 70%) of the actual salary.

   f) Appointee shall have the same access to all university research facilities.

   g) While reduced time appointee has no guarantee of resumption of full-time status, reduced appointee gets "first consideration" for any vacant position in the academic sub-unit.

3. The collective agreement goes to some lengths to encourage employees to opt for reduced time status. In order to provide further incentives it is recommended that:

   a) the employer provide a guarantee that an employee should be able to return to full-time status within the space of a few years; the employee shall be required to give sufficient notice to allow for academic planning decisions to be made;

   b) employees with reduced time status shall contribute 6% of their actual salary to the Carleton University pension. The employer shall make up the difference between 6% of the nominal salary and the employee's actual contribution to the pension.

Are Professors Recyclable?

Internal faculty exchanges could ward off stagnation

POINT OF VIEW

By Robin Scott Wilson

IT IS HARD to write about the loss of faculty mobility, about departmental stagnation and over-tenurization and the shortage of new blood and the problem of faculty renewal, without seeming to espouse the notion that many professors—deprived of Fulbrights, predictable promotions, and ever greener pastures—go dead in the head in the classroom.

What an unfair characterization that is! However immobile they may become, most faculty members—particularly those in large research universities—will continue to find renewal and revitalization in a variety of ways: in university or off-campus service, in changing professional assignments, and above all, in their own scholarship. It is no empty dogma that the intellectual excitement of scholarship (however loosely defined) is, for most teachers, an essential element of quality classroom performance.

With this disarming demurral out of the way, I quickly assert that the coming period of steady-state financing, stable or even declining enrollments, and stasis in departmental rosters does pose problems, particularly for faculty morale and the quality of undergraduate instruction. Even the most enthusiastic teacher can grow weary, the most brilliant lecture notes can yellow, when Introductory Social Statistics 175 is taught for the 15th consecutive semester by the same person to students who differ very little from those of the 14 preceding classes. Such a teacher finds his search for novel presentations ever less productive: his favorite, sure-fire classroom bits begin to pall, his jokes and contemporary allusions grow obsolete, his emphasized summaries and integrating insights ("now this is really important; this is the whole point of the thing") echo back through the corridors of his mind like a catchy television jingle. A disturbing sense of *déjà vu* comes to haunt his life in the classroom.

The problem is less serious in advanced undergraduate and graduate education. Here the teacher's research and the content of his instruction are more proximate, and he can enjoy communicating fresh insights and new discoveries to an audience prepared to understand and appreciate them. But the exotic results of advanced research are usually *not* the stuff of lower-division courses, and the enthusiast is more likely to baffle than to enlighten students of Physics 101 with rigorous discussions of Josephson junction detectors.

This discrepancy between the scholar's enthusiasms and the teacher's duties has always existed. But in the recent years of explosive growth, experimentation, and change, no young professor had to wait very long to get an advanced undergraduate course and a few graduate students of his own. A typical English department, for example—a principality made up of a series of dukedoms defined by period or genre—might have included a senior 18th-century scholar absorbed with graduate students, national professional meetings, and his definitive book on the Junius Letters. Under him labored an associate professor or two, splitting their time between graduate and advanced undergraduate courses, busy in the library cobbling together their articles and monographs (emergency passports if the old bird on top were too slow about moving on or retiring). At the bottom of the heap sat two or three new assistant professors, teaching lower-division survey courses, mining their dissertations for publishable lumps, and generally learning their trade. Every year came more students and new programs; the old boys, much in demand elsewhere, moved on to regents' professorships; some of the middle rank moved up or on or slipped off into the lucrative glories of administration and a 12-month contract; and opportunity gleamed everywhere.

No longer. Now young men and women face long apprenticeships on uncertain annual contracts, an extended period when, while they may be intellectually consumed with interest in Silurian Trilete Spores, they are constrained to teaching two or three sections of Beginning Physical Geology. For them, the marvelous congruence between teaching and research is flawed and likely to remain so. For their students, the enthusiasm and freshness engendered by scholarship are likely to weaken and dim and—eventually—wink out.

I have perhaps over-emphasized the plight of junior faculty members; the evils of departmental stagnation affect all ranks. Financial retrenchment means less research support, fewer opportunities for travel, a course catalogue that seldom needs revision, and an awareness that the same faces will be there at the Friday afternoon staff meetings for the next decade or so. "New experiences are essential to faculty development," writes the Group for Human Development for Higher Education. "Faculty who have forgotten what it is to face new challenges have lost touch with the situation in which their students normally exist."

Schemes for restoring lost faculty mobility are springing up all over. There is talk of early retirement plans and interinstitutional faculty exchanges. Unfortunately, most of these ideas involve substantial sums of money, and, while one might hope for a few pilot experiments, it is unlikely that any institution will be prepared to sponsor the massive program of faculty movement that seems desirable.

If, then, we face an inevitable period of diminished physical mobility (vertically through promotion, horizontally through movement from institution to institution) which will produce stagnation and its attendant evils, perhaps the higher education establishment should take a hard look at *intellectual* mobility. This is not so much the kind of "inner emigration" espoused by desperate Eastern European intellectuals at the height of the Cold War as an institutionally sponsored movement of individual faculty members across the fortified frontiers defining academic disciplines. There is no room here to rail at the fragmentation of knowledge that has expanded the *trivium* and *quadrivium* to the 572 entries in the U.S. Office of Education's listing of "Conventional Academic Subdivisions of Knowledge and Training." It is sufficient to assert that such fragmentation is often artificial, that barriers to interdisciplinary movement are far more administrative and psychological than intellectual, and that many faculty members—relieved of financial and professional sanctions—might willingly poach a bit in their neighbors' fields.

Not all professors, after all, are content to teach and learn over a long career within the ever-narrowing confines of a single discipline. The search for truth is a disorderly business, happily unmindful of the Office of Education's taxonomy. How many physiologists have found themselves drawn (perhaps kicking and screaming) into psychology because somewhere in the marriage of the two disciplines lay answers to problems that fascinated them? Literary scholars can become first-rate political historians; entomologists do distinguished research in human sexuality; sociologists become experts in criminal law.

One suspects this list would become very long indeed were it not for a rewards structure and a Balkanized system of professional societies that make such interdisciplinary adventures hazardous for all but a very few. And the sad thing is that the acoustic physicist whose interests have led him into speculations about the aesthetics of music will not be very much encouraged by the present system to learn more about the matter or—if he does so on his own—to communicate his findings directly to music students.

BUT DISCIPLINARY PAROCHIALISM can be overcome if professors and administrators can agree that the game is worthwhile. Suppose a major university were to invite a number of senior professors, men and women secure in their own disciplines, to step for about a third of their time into another discipline, not necessarily (or probably) as researchers but as teachers of undergraduate courses, primarily at the lower-division level. Volunteers would be provided some help, of course. Perhaps a summer free of other duties and a bit of coaching from the host department would do the trick.

What would motivate faculty to accept such an invitation? Some, I suspect, would do so out of boredom; some out of curiosity—an urge to explore a new intellectual realm; some because their research interests were cognate with the new field; some in search of new collegial relationships; and some because the new field promised the pleasures and lightened responsibility that distinguishes a serious avocation from a career. It is reasonable to expect that after a semester or two of part-time work in another department, some faculty members might return to full-time work in their own disciplines with profound sighs of relief; others might return with new perspectives, new objectivity, a revived sense of the unity of knowledge; still others might not return at all. To the degree that such an internal faculty exchange involved humanists trading with scientists, artists with technologists, we might hope for some diminution in the "two cultures" conflict which has so seriously eroded the intellectual cohesiveness of our society.

Students, particularly freshmen and sophomores, ought to benefit substantially, too. They might find themselves in classrooms with academic superstars who otherwise seldom see undergraduates. There can be a kind of freshness and verve in teaching done by someone who is himself relatively new to his subject; we have all seen this in good graduate assistants. Channeled through the wisdom and experience of a senior professor, this kind of enthusiasm might make the classroom a place for exciting shared discovery, not simply the locale for the communication of knowledge.

From an institutional point of view, even a very modest system of internal faculty exchange ought to bring about a redirection of senior manpower to undergraduate courses and opening of teaching opportunities at advanced levels for junior faculty members. It might also provide a framework for permanent reassignments of faculty members in languishing disciplines—surely a desirable alternative to budget-mandated dismissals.

The feasibility of interdisciplinary faculty exchange remains to be tested. Certainly, as in any innovation, universities or foundations would have to make some cash investments. Suppose an experiment were tried in a typical liberal arts college and a senior person from each of 12 or so disciplines were asked to participate. Since each would, after a summer of preparation, continue to generate just as many (if not more) student credit-hours in his host department as he had in his home department, only the bookkeeper would change. The cost of summer preparation (two-ninths of an average salary of, say, $22,500 for each of 12 persons) would be on the order of $60,000, a small sum to pay for a process so promising.

Perhaps some institution is now trying such a scheme. I hope so.

Robin Scott Wilson is associate director of the Committee on Institutional Cooperation, the academic consortium of the Big Ten universities and the University of Chicago.

WESTERN

REPORT OF THE PRESIDENTIAL COMMITTEE ON FACULTY DEVELOPMENT

January 1979

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TABLE OF CONTENTS

Acknowledgments iii

I. Introduction 1

II. Problems Facing the University 1

III. Faculty Development in Times of Financial Restraint 3

- 1. Enhancement of Academic Effectiveness 3
- 2. Increasing Career Opportunities 5
- 3. Bringing New People and Ideas to Western 7
- 4. Evaluation of Methods of Faculty Development 8

IV. Specific Programs for Faculty Development 9

- 1. Leaves of Absence 9
    - i. Sabbatical Leave 10
    - ii. Rotating Leave 12
    - iii. Educational Leave 14
    - iv. Exchange Leave 17
    - v. Departure Leave 18
- 2. Faculty Exchange Programs 20
- 3. Continuing Part-Time Appointments 23
- 4. Early Retirement 29
- 5. Alternative Employment 31
- 6. Contract and Mission-Oriented Research 35
- 7. Improvement of Teaching 37
- 8. Integration of Extension and Summer Teaching 39
- 9. Individualized Work Loads 47
- 10. Dismissal for Cause 49
- 11. New Appointments 50
- 12. Evaluation of Methods of Faculty Development 50

V. Conclusion 51

List of Recommendations 53

Bibliography 60

TABLE OF CONTENTS (Cont'd)

Appendices

A Terms of Reference of the Presidential Committee on Faculty Development

B Proposal for "Seasonal Full-Time Status for Academic and Administrative Staff," University of Western Ontario

C Reduced Periods of Responsibility Program, Queen's University

D Submission from the Provost's Advisory Committee on Teaching and Learning

Acknowledgments

The Committee wishes to express its appreciation to the many faculty members and administrative officers who supplied proposals, suggestions, and information to assist us with our task. The valuable help of Miss Susan Armstrong and Mrs. Helen Harris with the preparation of this report is also gratefully acknowledged.

I. Introduction

Under its terms of reference (see Appendix A), the Committee was directed to explore ways and means of improving existing procedures and developing new policies that will assist the University to:

"(a) expand opportunities for Faculty members to develop their full potential for academic work and expand their experience;

(b) enlarge the career possibilities of Faculty members;

(c) afford opportunities to bring new people and ideas into our Faculty."

The Committee understood that it was expected to take the financial problems facing the University into account when formulating its recommendations.

In seeking to fulfill our mandate, we investigated several specific arrangements which might encourage faculty development. However, it became clear that most of these arrangements can contribute to the achievement of more than one of the goals set out above. This report, therefore, begins by suggesting ways in which a number of policies might be used in combination to foster faculty development. In the later sections, more detailed discussions of some of these policies and procedures will be presented.

II. Problems Facing the University

After reaching a peak in 1982, the number of Ontario residents between the ages of 19 and 24 years, the group from which Western draws the majority of its undergraduate students, is expected to decline until approximately 1998. In addition, if present trends continue, the percentage of Ontario Year 5 graduates who elect to enroll in post-secondary institutions will decline, those who enter such institutions will prefer Colleges of

Applied Arts and Technology to universities, and university students will prefer professional training to liberal arts programs. These trends are expected to exacerbate the problems caused by the population decline, especially in the Faculties of Arts, Science and Social Science.

Because the University relies on formula financing from the Ontario Government for most of its funding, declines in enrollment will result in reductions in operating revenue. The short term financial outlook is further darkened by the Government's recent announcement that the increase in operating grants to universities for 1979-80 will be limited to 4.95%. The annual rate of increase in support for universities is expected to remain significantly below the rate of inflation for the foreseeable future. Thus, it is anticipated that a combination of factors will result in severely reduced funding for the University over the next two decades.

Declining enrollments can be expected to affect faculty members in three major ways. First, the necessity of reducing expenditures is likely to force the University to reduce the number of faculty positions. Retirements and resignations can be expected to reduce the faculty complement to some extent. However, it is probable that the number of limited term and temporary positions will be decreased substantially and it is distinctly possible that faculty members with tenured appointments may have to be dismissed. Second, overall declines in enrollment, coupled with trends away from enrollment in the Sciences and Humanities, will mean that faculty members in some disciplines will be "underemployed" in the sense that there will be insufficient student demand for courses in either certain specialties or entire departments. Third, the University's relative inability to hire new faculty members will reduce the inward flow of new ideas. The skewed age profile of Western's professoriate complicates matters. Without the stimulation provided by younger colleagues with more recent graduate training, continuing faculty members face the prospect of "growing old together," teaching and performing research as they were taught to do in the 1950s and 1960s, until they retire *en masse* at the turn of the century.

The current declines in enrollment and funding can also be expected to have long-term adverse effects on the University. To the extent that poor employment prospects drive recent Ph.D.s out of the universities and discourage promising undergraduates from applying to graduate programs, the University may suffer from a shortage of qualified professors at the beginning of the twenty-first century when enrollments are expected to increase and when many professors currently employed will reach retirement age. It is, consequently, essential that positions within the University be made available for as many young scholars as possible.

III. Faculty Development in Times of Financial Restraint

Despite the many problems facing the University, we are confident that Western has the human and financial resources to meet the challenges of the next two decades. In the following section, we will suggest methods whereby the University could enhance the effectiveness of continuing members of faculty, expand career opportunities, and bring new people and ideas to the campus.

1. Enhancement of Academic Effectiveness

As stated in the Preamble to the Conditions of Appointment, "the essential functions of a university are the pursuit, creation, and dissemination of knowledge and understanding, through research and teaching." Even in times of prosperity, the University has a continuing responsibility to assist faculty members to perform their academic functions as effectively as possible. However, in times of financial restraint when it becomes increasingly difficult to appoint new faculty members, it will be necessary to provide continuing faculty members with alternative opportunities to interact with other colleagues and to keep pace with new developments in their disciplines.

Contact with colleagues from other institutions can provide opportunities for faculty members to discuss their scholarly projects with others in the field, to learn of new areas of investigation, and to acquire new research techniques. Faculty members should, therefore, be encouraged to attend professional meetings, conferences or workshops for brief periods and to participate in exchange programs which permit them to work in other settings for longer periods.

Leaves of absence from the University can contribute to faculty development in a variety of ways, depending upon the nature of the leave. Sabbatical leave provides time for scholarly activity uninterrupted by the demands of teaching and administrative duties. If faculty members travel outside London during their leaves, a practice which we regard as desirable but not essential, they also gain stimulation from other colleagues and environments. Similar functions can be served by leaves of absence without salary if they are granted to permit faculty members to accept special awards, such as Killam Fellowships, temporary appointments, such as Visiting Professorships, at other institutions, or special assignments in government, business or industry. We also propose that greater use be made of leaves of absence with partial salary for faculty members who wish to improve their teaching or research skills or to complete advanced degrees which are directly relevant to the performance of their academic functions at Western.

The primary purpose of the arrangements listed above is to improve the quality of scholarly work. Parallel efforts are required to foster the continued improvement of teaching at Western. It is important to increase incentives for good teaching, especially at the undergraduate level, and to provide assistance for those who wish to improve the effectiveness of their instruction. Consideration should also be given to arranging individualized work loads for tenured faculty members who are particularly adept at either teaching or research.

2 Increasing Career Opportunities

There are several ways in which the University can assist underemployed faculty members to find suitable alternative employment either within or outside the University. First, to permit continued full-time employment at Western, professors whose courses are underenrolled might be assigned to teach sections of more popular courses in their home departments. If an entire department suffers from low enrollment, some faculty members might be transferred to another department which offers courses in related areas of specialization. Alternatively, faculty members might be released from some or all of their teaching responsibilities and reassigned to administrative or service units within the University. Such "lateral transfers" might involve either a joint appointment with a faculty member's home department and another unit, or a full-time appointment in the receiving unit. In either case, it is essential for the well-being of both the faculty members and the receiving units that those being transferred be selected carefully and given the opportunity to prepare for their new assignments. When considerable study is necessary, we suggest that the University should support faculty members during leaves of absence for alternative training.

Second, full-time tenured faculty members who are underemployed might be offered continuing part-time appointments. For faculty members who are close to retirement age or who wish to pursue outside, nonacademic activities, part-time appointments might provide an attractive combination of sufficient income and adequate time to develop other interests. For others, part-time appointments might provide the opportunity to combine employment at Western with either private consulting or part-time positions in business, industry or government. Some of the latter individuals might accept part-time appointments at Western for a year or two while preparing to embark on full-time careers outside the University. In order to be attractive to current full-time faculty members, however, continuing part-time appointments should be sufficiently flexible to meet individual requirements, should provide a reasonable level of income and benefits, and should permit the retention of tenure. One part-time employment scheme which appears to meet these requirements is proposed in Section IV.3.

A third option for underemployed faculty members is to seek full-time employment outside the University. The University could assist individuals who are considering this option in one of two ways. To those who have been offered outside positions, the University could grant leave of absence without salary. In this way, faculty members might be encouraged to try alternative employment without having to sever their ties with the University at the outset. Some reasonable time limit (perhaps three years) should, however, be set to ensure that those who undertake alternative employment do not retain tenure for a lengthy period. To those whose current skills are less marketable, the University could grant departure leave (described in Section IV.1.v) under which tenured faculty members would volunteer to resign at the conclusion of a University-supported period of study or alternative training. The University could further assist faculty members who are considering part-time or full-time employment outside the University by making career counselling services available and by participating in provincial or national programs which would inform potential employers about the qualifications of faculty members seeking outside employment.

3. Bringing New People and Ideas to Western

Some methods of bringing new people to Western involve little cost to the University. When a professor participates in an exchange program, his co-participant, who continues to be paid by his home institution, becomes available to interact with faculty members at Western. Similar advantages would accrue if Western actively encouraged faculty members from other universities to spend their sabbatical leaves on this campus. By providing office space, access to the library, and other campus services, the University could provide stimulating external contacts for its faculty members. To further increase the number of visitors, particularly from outside Canada, Western could make available limited funds for salary and travel. Inexpensive visits for shorter periods could be increased if department chairmen were encouraged to develop arrangements with their counterparts at other universities to exchange faculty members as colloquium speakers. Although honoraria would not be offered for such exchanges, the opportunity to discuss their research with outside colleagues might serve as a sufficient inducement for faculty participation. By encouraging researchers to include funds to support post-doctoral fellows and research associates in their grant applications, the University could bring additional scholars to the campus at the cost of providing research space.

In addition, we reiterate that the University's long-term interests are best served by hiring as many new faculty members as possible, preferably with probationary appointments. We recognize that each new appointment requires a substantial expenditure. However, many of the arrangements discussed in this report will release funds which could and, in our view, should be allocated for new full-time appointments. For example, the full salary of a faculty member becomes available to the University each time a faculty members retires, resigns, accepts leave without salary or, in rare cases, is dismissed for cause. Varying percentages of salaries become available when faculty members revert from full-time to part-time appointments, undertake research contracts which provide for released time, or are granted leaves of absence with partial salary. Other suggestions for releasing currently committed funds include the elimination of extra stipends for such activities as summer academic counselling, integration of extension and summer courses into the regular teaching responsibilities of departments and Faculties, and the abolition of undergraduate programs which are consistently underenrolled. To the extent that funds released in these ways are used for new appointments, the University would be able to hire young academics to help it meet its future needs.

4. Evaluation of Methods of Faculty Development

The effectiveness of arrangements introduced to encourage faculty development should be monitored on a continuing basis. Specification of the goals of each new arrangement and subsequent assessment of the extent to which each program has contributed to the achievement of its goals, would enable the University to modify its arrangements for faculty development in response to changing circumstances. Moreover, systematic monitoring would help the University to identify needs for additional programs to foster the academic development of the faculty and to enlarge career opportunities for both continuing faculty members and younger scholars.

IV. Specific Programs for Faculty Development

1. Leaves of Absence

In general, leaves of absence from the University offer faculty members the opportunity for scholarly enrichment while, in most cases, releasing funds which can be used either to bring new faculty members into the University or to reduce expenditures. Among the types of leaves currently available to faculty members, we suggest that the existing regulations governing leave without salary and study leave should remain in place but that the regulations governing sabbatical leave should be modified to meet the changing needs of the University.

In addition to the existing leaves, we suggest the introduction of four new types, called rotating, educational, exchange and departure leave. We think that it is important to assign a distinct designation to each type of leave and to consider each one separately because each serves a different purpose, requires specific organizational arrangements, and has different costs and benefits associated with it.

(i) Sabbatical Leave

Western's existing policy on sabbatical leave permits full-time faculty members with six years of continuous service to pursue an academic program uninterrupted by teaching and other duties. At present, faculty members may apply for either twelve months leave at 75% salary or six months leave at 100% salary. Full pension and insurance benefits are maintained by the University. Faculty members are encouraged to apply for outside funding up to a maximum total remuneration of 100% of salary plus reasonable travel expenses.

Unlike twelve-month sabbatical leaves which release 25% of the faculty member's salary, sabbatical leaves for six months at full salary place unreasonable burdens on departments by depriving them of the faculty member's services without releasing funds for replacements or other purposes. Therefore, we recommend that:

> The policy of granting sabbatical leave for six months at full salary should be discontinued.

We recognize that some faculty members may prefer six-month to twelve-month sabbaticals. Therefore, we suggest that such members should be permitted to take sabbatical leave for six months, commencing on either January 1 or July 1, at 75% salary and to devote the remaining six months of the "sabbatical year" to normal duties. We recommend that:

> A faculty member who is eligible for a twelve-month sabbatical leave should have the option of being granted, instead, sabbatical leave for six months at 75% salary and performing normal duties at full salary during the remaining six months of the "sabbatical year."

Second, at present, faculty members on sabbatical leave may accept remuneration, comprised of a maximum of 75% salary plus funds granted by external sources, up to the equivalent of 100% of salary plus reasonable travel expenses. It has been suggested that this limit may prevent some members from undertaking study in countries with high costs of living and that, in consequence, the limit on total remuneration should be raised to 120% of salary. In our view, the existing upper limit for total remuneration should be adequate to cover most sabbatical leaves. However, to cover special circumstances, we recommend that:

> The Senate Leaves Committee should be empowered to recommend that the upper limit for total remuneration, comprised of up to 75% of salary plus funds from external sources, be raised to a maximum of 120% of salary plus travel expenses in individual cases where a faculty member can demonstrate the need for unusual levels of support during a sabbatical leave.

Finally, if the proposals to introduce rotating leave (see Section IV.1.ii), educational leave (see Section IV.1.iii) and exchange leave (see Section V.1.iv) are adopted, we would suggest that the regulations governing eligibility for sabbatical leave should be expanded to cover these new types of leaves. Under existing regulations, a full-time faculty member may apply for sabbatical leave to begin after the completion of six years of continuous service to the University. Short periods of absence, not exceeding in total six months, are not regarded as interruptions of service for the purpose of determining eligibility for sabbatical leave. We suggest that very brief periods of educational or exchange leave should also be included among those absences which do not constitute discontinuity of service, provided that the time spent on such leaves plus other periods of absence from the University does not exceed a total of six months over the six years prior to sabbatical leave.

The existing regulations also state that, over a seven-year period, a faculty member who has been granted leave of absence without salary for one year but has served the University on a full-time basis for six of the seven years may apply for sabbatical leave to begin after the completion of the seventh year. For the reasons outlined in the following sections, we suggest that the "seven year rule" should also apply to faculty members who have been granted up to one year's absence for rotating leave, exchange leave or "educational leave for alternative training" prior to transfer. However, for faculty members who have been granted "educational leave for advanced training," it appears that eligibility for sabbatical leave should be determined on an individual basis, depending upon the nature and length of the educational leave (see Section IV.1.iii). We, therefore, recommend that:

> A faculty member who, over a seven-year period, has been granted a leave from the University, up to one full year, for rotating leave, exchange leave or, in some cases, educational leave, but has served the University on a full-time basis for six of the seven years, should be permitted to apply for sabbatical leave to begin after the completion of the seventh year.

(ii) Rotating Leave

The institution of a system of rotating leaves has been suggested as a method whereby departments with declining enrollments might reduce salary expenditures without eliminating positions. Such schemes have been already implemented by at least two Boards of Education in Ontario.

A typical system of rotating leaves might cover a five-year period. An agreement would be drafted under which a tenured faculty member would agree to work full-time for four years while receiving 80% of his normal salary. The remaining 20% of his salary would be banked by the University on his behalf. During the fifth year, he would take a leave of absence at 80% of normal salary plus the accrued interest on the banked sum. The faculty member would have no prescribed duties during his leave of absence and would not be required to submit in advance a proposed plan of study. After returning from leave, the faculty member would have the option of entering into another rotating leave agreement or returning to full salary.

To increase the attractiveness of the scheme, contributions to pension and other benefit plans should be based upon the faculty member's normal, rather than reduced salary, and should be continued at the same rate during the leave of absence. Further, faculty members who have taken one year of rotating leave during a seven-year period should be permitted to apply for sabbatical leave after the seventh year. Entry into rotating leave agreements should be voluntary for faculty members but should require the University's consent. To settle any disagreements, appeal procedures should be developed.

Although rotating leave agreements would be made with individual faculty members, the plan would be most effective if several or all members of a department facing low enrollments chose to participate, thus permitting their leaves of absence to be staggered. From the University's point of view, rotating leaves would yield substantial savings, amounting to roughly 20% of each participant's salary under a five-year scheme, and might provide an alternative to the dismissal of tenured faculty in times of financial crisis. For faculty members, the prospect of a 20% reduction in salary would have little appeal in times of prosperity. However, when low enrollments require a reduction in the number of positions, faculty members may well conclude that a voluntary reduction in salary, coupled with an assured leave every five years, is preferable to the loss of a job or the loss of a colleague.

Although we have sketched the outline of a plan for rotating leaves, we recognize that many details require further study. Most important are the questions of whether a four-, five-, or six-year cycle of rotating leaves would be most appropriate for Western and whether faculty members would indeed find such a system attractive. The income tax consequences of rotating leave plans should also be investigated. Therefore, we recommend that:

> The University should develop policies and procedures governing a voluntary system of rotating leave for tenured faculty members and should implement these policies for a trial period.

(iii) Educational Leave

We use the term "educational leave" to refer to leaves of absence taken by faculty members in order to improve the performance of their university duties. Within this category, we shall distinguish between "educational leave for advanced training," which could be granted to faculty members requiring specialized knowledge for research or teaching purposes or to complete an advanced degree, and "educational leave for alternative training," which could be granted to faculty members preparing to undertake new functions within the University. As elaborated below, these two types of educational leave would meet somewhat different needs and would require different arrangements.

Educational leave for advanced training would allow faculty members to acquire knowledge or skills which would contribute to the performance of their regular academic pursuits. For example, a scientist might want to learn a new research technique in a colleague's laboratory, an historian might need to study rare documents in a distant library, a professor might want to attend a workshop on teaching methods, or an engineer might wish to gain practical experience by working in an industrial setting. Such educational leaves would also assist members of professional academic units where tenured appointments have been given to individuals who do not hold doctoral or equivalent degrees. Although such faculty members are strongly encouraged to complete advanced degrees, we have received reports that some have encountered difficulties when they applied for leaves of absence to complete course requirements, particularly if they requested financial support.

In many ways, this type of educational leave resembles sabbatical leave. Indeed, we suggest that, like sabbaticals, such educational leaves should be funded at 75% of salary and that faculty members should be encouraged to apply for external support, up to a limit for total remuneration of 100% of salary plus reasonable travel costs. However, unlike sabbatical leaves, the length of an educational leave for advanced training would depend upon individual faculty members' requirements, and eligibility for leave would depend upon demonstrated need for further study rather than upon years of service. Because of their similarity, we suggest that when a faculty member has been granted educational leave for advanced training during a six- or seven-year period, his eligibility for sabbatical leave should depend upon the length and nature of the educational leave. As a guideline, we suggest that a brief educational leave might be regarded as a period of continuous service to the University (see Section IV.1.i). Faculty members who have been granted lengthy educational leave, approaching one full year, might be required to complete an additional six years of continuous service before becoming eligible for sabbatical leave. Those granted educational leave for several months, but less than a full year, would have their eligibility for sabbatical leave determined on an individual basis.

As discussed in Section III.2, when it becomes necessary to reassign underemployed faculty members to courses or departments with higher enrollments, or to non-teaching units of the University, the University has a responsibility to prepare faculty members to perform their new duties effectively. In such cases, we suggest that educational leave for alternative training should be granted to tenured faculty members prior to transfer. The duration of the leave would have to be arranged on an individual basis but some limit, perhaps one year, should be established. To encourage faculty members to accept such leaves, they should be supported at full salary and should be covered by the "seven year rule" governing eligibility for sabbatical leave. Faculty members would be responsible for any relocation or tuition costs for such educational leaves but could be encouraged to apply for external support for these expenses.

To permit the various kinds of faculty development described above, we recommend that:

> The University should introduce educational leaves, for periods up to twelve months, for full-time tenured faculty members. Those granted "educational leave for advanced training" should receive 75% salary and should be permitted to accept external remuneration, up to a total of 100% of salary plus travel expenses. Those granted "educational leave for alternative training" should receive 100% salary and should be permitted to accept external support for relocation and tuition costs. Benefit contributions for all faculty members on educational leave should be based on full salary.

We recognize that the granting of educational leave for advanced training may place a serious burden on the remaining members of a department. The problems may be particularly acute in professional academic units which usually offer a fixed curriculum of fully enrolled courses. Thus, when one member is on leave, other members may be forced to accept a heavy increase in teaching loads. To deal with such problems, we recommend that:

> When a unit head can demonstrate that the granting of an educational leave places unreasonable demands upon the other members of the unit, the appointment of replacement personnel should be supported from the Academic Development Fund.

If the proposal to introduce a new appointment category for continuing part-time faculty members (see Section IV.3) is adopted, it would seem appropriate to extend educational leave for advanced training to tenured faculty members within this category. Compared to full-time faculty members, part-time members of faculty are likely to be less active as researchers or scholars and, thus, are less likely to be granted sabbatical leave. They might well, however, benefit from an opportunity to attend workshops, work in other libraries or laboratories, or review the literature related to their teaching fields. We recommend that:

> Tenured members of faculty holding part-time appointments should be permitted to apply for educational leave for advanced training, with the base salary from which support for such leaves is computed being prorated as a function of the percentage of full time the faculty member had contracted to engage in University duties.

For example, if a full-time faculty member earning $24,000 per year elected to accept a half-time appointment and subsequently demonstrated the need for educational leave for advanced training, he would be supported at 75% of $12,000. We would not envision, however, that such a faculty member would be granted educational leave for alternative training.

(iv) Exchange Leave

At present, the home university continues to pay the full salary and benefit contributions for faculty members who participate in exchange programs. The expenditure is fully compensated, however, by the services of visiting professors paid by their home institutions. Thus, the University's only additional expenses for exchanges are the relocation costs for either the local professor or the visitor, depending upon the terms of the exchange agreement. In our view, the benefits of exchanges (outlined in Section IV.2) fully justify the University's expenditures for relocation.

To increase faculty members' awareness of exchange programs and to distinguish leaves granted to exchange participants from leaves granted for other purposes, we suggest that exchange leave be designated as a separate leave category. Thus, we recommend that:

> The University should introduce exchange leave for faculty members who wish to participate in faculty exchange programs.

Because faculty members normally engage in teaching, research, and supervisory activities while on exchanges, such exchanges do not provide the same opportunities for uninterrupted scholarship as sabbatical leaves. Therefore, we have recommended, in Section IV.1.i, that for the purpose of determining sabbatical leave entitlement, very brief periods spent on exchange leave might be regarded as continuous service to the University and that the "seven year rule" should apply to cases in which exchange leave, for up to one year, has been granted.

(v) Departure Leave

In the event that an underemployed faculty member cannot be reassigned to another University position and cannot secure a position outside the University, the University might assist the faculty member by granting departure leave. The purpose of departure leave would be to support a tenured faculty member and to permit continued association with the University during the period required for the faculty member to develop marketable skills for employment outside the University. To obtain departure leave, the faculty member would enter into a formal agreement with the University. The University would agree to release the faculty member from all academic duties and to provide a reasonable level of support during a specified period of study and redevelopment. The faculty member would agree to resign from his tenured position at the end of the departure leave.

Entry into such an agreement would be voluntary for both parties but, once signed, the agreement would be binding. Because circumstances would vary from case to case, each agreement would likely require separate negotiation of the length of the leave, the level of support during the leave, and so forth. However, a set of general guidelines might be developed to serve as a starting point for negotiations.

Because departure leave is designed to assist faculty members from departments suffering from low enrollments, it is unlikely that support for a faculty member on departure leave could come from his department's budget. Instead, support should be drawn from central or external funds. It should be added that the short term costs of departure leave would be less than the costs of retaining a tenured faculty member until retirement or of the litigation that might follow termination of a tenured appointment.

Although we regard departure leave as potentially useful, we think that the plan would require careful consideration, and possibly legal scrutiny, before it could be implemented. Therefore, we recommend that:

> The University should investigate the feasibility of introducing departure leave for tenured members of faculty.

2. Faculty Exchange Programs

Programs which permit faculty members to work at another institution for periods ranging from a few weeks to a year or more while continuing to receive salary and benefits from their home institutions provide an inexpensive means of enriching the participants and their universities. Faculty members gain access to new colleagues as well as library materials and research equipment which may be unavailable at their home institutions. Universities can enrich their research programs or course offerings without the expense or long-range commitment of new appointments.

The exchange programs we surveyed differed primarily in their methods of selecting participants. In some cases, two institutions enter into a formal agreement to exchange faculty members from particular departments to perform specified duties for a stated period of time each year. At present, Western has two such agreements with the Université de Technologie de Compiègne and the University of Mannheim. At least one more is under negotiation. Such formal agreements have the advantage of permitting systematic exchanges of faculty members but they tend to involve small numbers of people and, because they require a separate agreement with each institution, they tend to be time-consuming to initiate.

The second type of program relies on individual faculty members to initiate exchanges either through their personal contacts with other academics or by notifying a central clearinghouse of their desire to participate in an exchange. When an initial match is made, the details of the exchange are arranged by the two institutions involved, sometimes with the assistance of the sponsoring body. Some such exchanges, such as the program arranged by the Canadian Association of Chairmen of English and the program proposed by the

Canadian Eighteenth Century Society, are sponsored by disciplinary groups. Others, such as the jointly sponsored CAUT-AUCC program and the Professorship Exchange Program recently proposed to the Council of Deans of Arts and Science of Ontario Universities, are open to members of all disciplines. Interchange Canada also arranges exchanges between the federal government and the private sector, including universities, for middle managers and senior executives.

Exchanges of the second type provide more flexibility than formal institutional agreements because they do not specify the university or, in some cases, the discipline from which the participants must come. The reliance on individual faculty members to initiate exchanges is, however, a major drawback of such plans. Informal discussions with our colleagues suggest that most faculty members either are unaware of existing exchange programs or are uncertain about the procedures for arranging exchanges. Those who wish to participate in exchanges may have difficulty locating co-participants. Faculty members' closest academic contacts tend to be with others working in the same specialized field. To exchange positions with such colleagues would do little to increase collaboration, yet to find a co-participant from a different specialization, or even a different department, at the host university is sufficiently difficult to discourage many faculty members.

Faculty members may also be uninterested in exchange programs because of the difficulties involved in relocating their families, especially if they have school-aged children or working spouses. Relocation can also be expensive, even when financial assistance for travel and moving costs is provided or when costs are reduced by exchanging residences with their co-participants. Because of personal or professional obligations, faculty members may not want to be away for an entire year, the most common length of the exchanges we surveyed. Finally, not all universities are equally attractive as exchange sites.

Elimination of all obstacles to exchanges would be difficult. Nevertheless, interest in participating might be increased if the faculty were better informed, the programs were more flexible, the costs of exchanges were minimized, and additional administrative support was provided. To accomplish these aims, we recommend that:

> A member of the central administration should be responsible for informing faculty members about opportunities for exchanges and assisting participants in exchange programs.

We are not recommending the creation of a new administrative post. We envision that a relatively senior person responsible to the Office of the President might be involved personally in aspects of exchanges requiring a high level of responsibility, such as negotiating exchange agreements, while supervising the performance of more routine tasks by support staff. For example, this individual could arrange for information about exchanges to be collected and distributed to Deans and Chairmen and for the benefits of exchanges to be publicized. He could also arrange for faculty members interested in exchanges to receive assistance in locating co-participants and in finding external support for relocation expenses. Visitors coming to the campus on exchanges could be provided with information and help in becoming settled and relevant departments could be informed of the visitors' presence in order to maximize their contacts with faculty members at Western.

It may be possible to attract more faculty interest to discipline-based exchanges than to broader schemes such as the existing CAUT-AUCC exchange program. Further, faculty members may find short term exchanges more appealing than ones that require a year's absence from Western. For example, exchanges during the summer months might provide access to needed research materials with minimal disruption of family life. For administrative convenience, however, it would be preferable to have exchanges of less than a full year correspond to the academic terms. Therefore, we recommend that:

> The University should encourage the development of additional exchange programs, particularly those which are discipline-based and which permit exchanges for less than a full year.

Finally, because it is important that relocation costs do not discourage faculty members from participating in exchanges, we recommend that:

> The University should consider making funds available to support, at least in part, the relocation expenses of faculty members who participate in exchange programs.

Another means of reducing the costs of relocation might be to have faculty members' removal expenses declared tax deductible, as is currently the case for the removal expenses of faculty members on sabbatical and study leave. Therefore, we recommend that:

> The University should endeavour to have the removal expenses of faculty participants in exchange programs declared tax deductible by the Department of National Revenue.

3. Continuing Part-Time Appointments

At present, faculty members at Western are appointed under three categories. Those holding tenured or probationary appointments or limited-term contracts of one year or more have Regular Full-Time status; those employed to perform part-time duties for one year or longer have Regular Part-Time status; and those employed for less than one year have Temporary status. It should be noted that participation in the University's benefits programs is mandatory for Regular Full-Time faculty members but is not permitted for those with Regular Part-Time or Temporary appointments. Also, Regular Part-Time appointments are rarely made for faculty members. Those who teach courses on a fee-for-service basis are normally given Temporary appointments.

It has been suggested that the creation of additional categories of part-time employment would encourage faculty development, in its broadest sense, and/or reduce university expenditures for salaries and benefits. Suggestions include: eight- or nine-month contracts which would free faculty members for other endeavours during the summer months; year-long, part-time appointments which would leave time each week for other activities; partial retirement which would permit senior faculty members to decrease their academic loads gradually; joint appointments with outside bodies which would allow faculty members to retain academic involvement while gaining experience in business, government or industry; and shared appointments which would permit two individuals, perhaps spouses or co-investigators, to hold a single appointment while, presumably, having full access to research facilities.

All these suggestions deserve serious consideration because they meet different faculty needs and provide various ways to reduce expenditures. However, instead of introducing numerous categories of part-time employment which are potentially confusing to both faculty and administrators, we suggest that the University should initiate a single, flexible scheme which could subsume all the specific part-time arrangements listed above.

We suggest that a suitable plan for the part-time employment of continuing members of faculty at Western might be developed by combining components of the proposal for "Seasonal Full-Time Status for Academic and Administrative Staff" drafted by Western's Personnel Department (see Appendix

B) and the "Reduced Periods of Responsibility Policy" currently in force at Queen's University (see Appendix C). Although both plans include administrative staff as well as faculty, we will consider only faculty members.

In essence, Western's Personnel Department has proposed that the faculty member and the University would agree to a "contact period," that is, a specified period, not less than seven months per year, during which the faculty member would be employed full-time. The normal annual salary for the position would be prorated according to the number of months or weeks of the contact period and the resulting "actual salary" would be paid in twelve monthly installments. The faculty member would participate in all benefits programs available to Regular Full-Time faculty but the pension contributions and life insurance premiums would be based on the actual salary.

Our comparison of this proposal with the policy in effect at Queen's University has led us to conclude that certain additions and modifications would increase the flexibility of the Western proposal and make it more attractive to tenured members of faculty. First, the nature of the contact period should be made more flexible by permitting the faculty member to work either full-time for a minimum of seven months per year or part-time for a minimum of three days per week throughout the year. In either case, the agreement between the faculty member and the University should specify not only the length of the contact period, measured in months per year or days per week, but also the faculty member's responsibilities during the contact period.

Second, a faculty member should be given the option of basing salary-related benefits (e.g., pension contributions, life insurance premiums) on either the actual salary or the normal salary. If the latter option were chosen, the faculty member would be responsible for paying his full share of the normal benefit contributions. Inclusion of this option would entail a small additional expense to the University, but it would be worthwhile if the opportunity to protect full pension and insurance benefits made part-time appointments more attractive to highly paid senior faculty members.

Third, full-time tenured faculty members who chose to accept part-time appointments should retain tenure, as is currently the case at Queen's University and The University of Toronto. Faculty members on probationary appointments should be ineligible for part-time employment because, otherwise, there might be an inadequate basis for assessing their accomplishments when they came to be considered for tenure.

Fourth, provision should be made for either the faculty member or the University to initiate a revision of the contact period. Revisions should require the agreement of both parties. Hence, it should be made clear to full-time faculty members who accept part-time appointments that any future revisions to the contact period, including reversion to full-time status, would be subject to negotiation and, thus, could not be guaranteed in advance by the University. A mechanism for resolving disagreements about proposed revisions to the contact period, perhaps by referral to the Senate Appeals Committee, should be developed.

Fifth, policies regarding sick leave, eligibility for educational leave (see Section IV.1.iii), and the method of computing salary increases should be developed. In addition, because neither "Seasonal Status" nor "Reduced Responsibility" seems to describe the proposed program accurately, some alternative designation would be required. In summary, we recommend that:

> The University should implement policies and procedures governing part-time appointments for continuing members of faculty according to the principles set out above.

An alternative to the proposed program of part-time appointments, which is favored by some faculty members and departments, is the appointment of all new and continuing members of faculty for nine months from September through May. It has been suggested that during the nine months of employment faculty members should receive 75% of their current salaries. Alternatively, it has been suggested that faculty members should receive 95% or 100% of their current salaries but should receive no increases until salaries computed over nine months reached their current levels. Under either alternative, faculty members could apply for additional stipends to support their teaching, research or administrative activities during the summer or would be free to pursue outside activities during the summer months.

It is important to consider these proposals because they derive from two prevalent sources of dissatisfaction among faculty. First, many researchers resent the fact that, although they receive their normal salaries while working on summer research projects, their colleagues who teach summer courses receive an additional stipend. Second, faculty members who perform their academic functions conscientiously during the summer are often resentful of colleagues whose vacations appear to extend beyond the normal period of one month.

It seems unnecessary, however, to introduce nine-month contracts for all faculty members merely in order to remove these sources of faculty dissatisfaction. Means of reducing the problem of inequitable salaries for summer activities are discussed in Section IV.8. Part-time appointments, as outlined above, early retirement (Section IV.4), or dismissal for cause (Section IV.10) might be applicable to faculty members whose academic performance during the summer is consistently below the usual level of expectation.

In addition, it appears that a system of nine-month contracts for all faculty members would itself generate serious problems. First, such contracts would be difficult to introduce and complicated to administer. At the outset, it would be necessary to revise the terms of appointment for all continuing faculty members because, under existing arrangements, full-time faculty members are appointed for twelve months with a one-month vacation. Once in place, the program would require each faculty member who intended to undertake summer academic work to apply for a summer stipend. The faculty member's application would have to be adjudicated and his performance would have to be monitored by his Chairman or Dean. We believe, in consequence, that the financial savings resulting from such an arrangement would be more than offset by the difficulty and cost of administering it.

Second, it appears that the financial implications would make nine-month contracts for all faculty members so unacceptable to various segments of the University that their implementation would be highly unlikely. That is, a proposal to reduce all faculty salaries to 75% of their current level would likely be rejected by faculty members as overly punitive. A proposal to pay all faculty members their current salaries for nine months and to pay an additional stipend for summer work would almost certainly be rejected by the administration as overly expensive.

On balance, because the difficulties far outweigh the benefits, we are not suggesting the introduction of nine-month contracts for all new and continuing faculty members at Western. We recommend, instead, the introduction of the part-time appointments scheme, outlined above, which would permit the arrangement of nine-month appointments for tenured faculty members on an individual basis.

4. Early Retirement

Of Western's faculty of approximately 1,200, only fifty will reach normal retirement age between 1980 and 1984. However, in 1979, 179 faculty members will reach age 55 or over. Early retirement thus provides one means of reducing expenditures and, more importantly, bringing in new faculty who would help to soften the impact of the mass retirement expected at the turn of the century.

The Early Retirement Compensation Program for Members of Faculty, approved by the Board of Governors in 1978, permits faculty members to retire at a minimum age of 55 years, provided that they have accumulated at least fifteen years of service to the University. Western's program offers more realistic pension benefits to faculty members who choose to retire before age 65 than any other Ontario university. Typically, early retirees from other Ontario universities must choose either to defer benefits until age 65 or to accept actuarially reduced benefits commencing on the date of retirement.

Because the pension benefits are reasonable and the option of part-time, post-retirement appointments is provided, Western's early retirement plan should be attractive to many senior faculty members. Early retirement can provide an individual with the opportunity to pursue or to develop outside interests, to embark on a second career, perhaps as a consultant, or to undertake a long-term, professional project. For those who no longer find academic life challenging and rewarding, early retirement can permit a graceful, financially attractive means of withdrawing from professorial duties.

A recent report of experiences at four American universities supports the view that early retirement, with adequate pension, can be an appealing option and a rewarding experience for many faculty members. Based upon interviews with fifty-two early retirees, Palmer and Patton reported that the desire to pursue outside interests was the most common reason for choosing early retirement. Many of these interests (e.g., consulting, writing, volunteer work) were related to faculty members' scholarly pursuits. Thus, they concluded that most of the early retirees continued to be active professionally. Loss of interest in academic life was a somewhat less common reason for retiring early; health problems were cited in only a small minority of cases. It is notable that a sizable majority of the early retirees expressed satisfaction with early retirement and stated that they were faring well financially. These data, although based on a small, select sample, suggest that senior members of Western's faculty might find early retirement to be worth serious consideration.

Because of its advantages to junior faculty members and the University as a whole, it is important to make early retirement maximally attractive. To this end, the University might consider making Emeritus status available to distinguished professors who choose to retire early. We recommend that:

> On the recommendation of the Dean, professors who choose to retire before age 65 under the Early Retirement Compensation Program should be granted the status of Professor Emeritus at the time of their retirement.

The University should also consider extending access to office and laboratory space to early retirees, allowing them to apply for research grants, and possibly permitting them to supervise graduate students.

We recognize that the salary funds released by early retirements may be required for non-salary purposes and that, even if the positions can be retained, the staffing needs of the University as a whole may require the reallocation of the positions to other units. Nevertheless, we would stress the importance of appointing as many new faculty members as possible. We, therefore, recommend that:

> When a faculty member retires, either at the normal retirement age or under the provisions of the Early Retirement Compensation Program, the released funds should be used, as far as possible, for the appointment of a new faculty member, preferably in the same budgetary unit.

5. Alternative Employment

One method of assisting faculty members in departments suffering from underenrollment is to find suitable alternative employment, either part-time or full-time, for some department members. Depending upon the qualifications and experience of faculty members, opportunities for alternative employment may be found either within or outside the University. A few examples are cited below but, in actuality, the possibilities are limited only by the imagination of faculty members and administrators.

Among "lateral transfers" from one unit to another, the simplest involves a shift in teaching responsibilities from one sub-area to another within the same department. For example, a professor whose specialty course attracts small numbers of students may be asked to devote the greatest portion of his teaching time to introductory or general courses or to specialty courses in a more highly enrolled sub-area of the department. Such transfers, which involve minimal additional training, have frequently been employed in the past to accommodate shifts in student demand.

Transfers from one academic department to another present somewhat greater challenges. To increase acceptance of the faculty member by the receiving department and to reduce the amount of alternative study required, transfers might best be made between departments with overlapping areas of intellectual interest (e.g., Sociology and Anthropology, Philosophy and Physics, Biochemistry and Chemistry) or between departments that teach similar courses (e.g., physicists or mathematicians might transfer to Engineering, professors teaching statistics or thermodynamics might be transferred among several departments). To further increase a faculty member's acceptance by his new department, it has been suggested that consultation and interdisciplinary research projects with the receiving department prior to transfer should be encouraged. Because the transfer process is likely to distract the faculty member from his research for a time and may temporarily decrease the likelihood of obtaining grant support, it appears preferable to limit transfers to relatively senior, well-established faculty members wherever possible.

Faculty members may also be transferred to non-teaching units of the University; there may be administrative positions which could be filled by faculty members. In addition, a number of student services might best be performed by appropriately trained academics. For example, more instructors are needed to deal with remedial English. The service might be provided both by professors of modern languages and by natural and social scientists. The latter would be particularly helpful in teaching students to use the technical terms and stylistic conventions employed in their disciplines. There may be a parallel need for a program in remedial mathematics at Western. Faculty members might also be employed in service units such as Counselling and Career Development or Secondary School Liaison. When transferring faculty members to nonacademic units, however, it is important to protect the positions and career prospects of current members of the administrative and support staff.

We assume that no special arrangements are required for transfers within a department. However, for transfers to other departments or non-teaching units, we stress the need to select only those faculty members, preferably established academics, who will be able to perform their new duties effectively and who will fit comfortably into their new units. We recommend that:

> The University should make every effort to find suitable positions in other units for faculty members who are underemployed in their home departments. Transfers, involving either joint or full-time appointments, should be made with due regard for the interests and wishes of both the faculty member and the receiving unit. Where required, the University should grant educational leave for alternative training to permit the faculty member to prepare for his new duties.

Faculty members who do not wish to transfer to another unit, or for whom a suitable position cannot be found, may consider seeking a position outside the University. As outlined previously, the University can assist those who possess marketable skills by arranging part-time appointments (see Section IV.3) or by granting leave without salary (see Section III.2).

Those who require a change in their field of endeavour before applying for outside positions could be granted departure leave (see Section IV.1.v). One use for departure leave is to adapt current skills to another purpose. For example, a research psychologist who wished to enter clinical practice might require support while preparing for his certification examinations. Alternatively, faculty members might prefer to acquire new skills quite removed from their academic disciplines. Possibilities range from attending professional school to studying agricultural techniques for use in full-time farming. One especially promising example is provided by the "careers in business" program sponsored by the New York State Education Department during the summer of 1978. Under this program, fifty academics attended a seven-week course in business administration and practice. By mid-October, about twenty participants had obtained positions in business while five had returned to their universities and the remainder were still seeking employment.

In addition to arranging transfers and granting leaves, there are three more general ways in which the University might assist faculty members who are underemployed. First, many faculty members whose career prospects at Western have been diminished by falling enrollments and financial restraint may have difficulty in deciding upon a new career direction either within or outside the university system. For such individuals, a career counsellor might provide valuable assistance in assessing their current skills and interests and in suggesting alternative career paths. It is possible that the University could arrange to have the Career Development group within Student Services provide career counselling for faculty members. Alternatively, a private firm of career consultants might be retained. Therefore, we recommend that:

> The University should explore the possibility of making career counselling services available to faculty members.

Second, it has been suggested that a central roster might be established to provide potential employers with information about the qualifications of faculty members who are seeking positions in government, business, industry or other universities. OCUFA has proposed that such a "resource center" might be sponsored jointly by OCUFA and COU. It has also been suggested that the universities should establish a roster of faculty members who are seeking other positions. Because such a scheme might well help to increase faculty mobility, we recommend that:

> The University should participate actively in the development of a provincial roster of faculty members seeking other positions within and outside the university system.

Third, faculty retraining on a large scale presents complex problems with which universities have had little experience. Consultation among universities might permit the identification of major difficulties and the sharing of solutions which have been tried at various institutions. To this end, we recommend that:

> The University should consider initiating or participating in a provincial or national conference on the problems of providing alternative training for faculty members.

6. Contract and Mission-Oriented Research

Recent federal government announcements indicate that applied research is becoming an increasingly important national priority. There are several indications of this trend. For example, federal granting agencies have indicated their interest in mission-oriented research in the natural and social sciences. The government has stressed the need for greater research and development by industry. At the same time, it is clear that many businesses and industries lack the capability to undertake their own research and development activities because they do not have the necessary personnel or facilities. Indeed, at least 80% of small manufacturing firms in Canada do not even have an engineer or scientist in their employ. Coupled with this, it is evident that in the past many Canadian university researchers have, for one reason or another, avoided involvement in applied research projects.

Given these trends, it is clear that the University could benefit by recognizing the academic challenges presented by many contract projects and directing a greater proportion of its research efforts toward applied problems in order to receive increased support from both the federal government and private industry. Such grants and contracts often include funds to support post-doctoral fellows and research associates and to pay for released time for faculty members. They also include overhead to assist the University in maintaining laboratories and equipment and may provide funds for additional equipment as well.

Despite the apparent availability of public and private funds to support applied research, it may be difficult for individual researchers to learn of current projects, especially those originating in the private sector, or to attract contracts for research in their areas of specialization. Consequently, it seems advisable to provide central coordination for contract and mission-oriented research. At least four models might be suggested. First, the University might appoint a coordinator, preferably with a background in industry or business, who could contact private companies and government agencies to determine their research needs, familiarize himself with the research interests of faculty members, and attempt to match the needs of the former with the capabilities of the latter. A second model would be the establishment of a Centre for Advanced Technology similar to those at McMaster University and the University of Waterloo which could attract industrial or manufacturing companies seeking research assistance. The University might also consider Carleton University's proposal to establish a wholly owned private research corporation which would seek contracts, hire faculty members to perform the research, and retain the profits for the University. Alternatively, it might be most suitable to have the Faculties rather than a central office coordinate applied research.

It is recognized that certain efforts along these lines have already been made at Western, notably the Photochemical Research Associates, Inc. which grew from the Faculty of Science and the SACDA unit associated with the Faculty of Engineering Science. However, additional arrangements for applied research would be desirable. It is beyond the limits of our time and expertise to determine which of the many possible models would provide the most suitable form of coordination of applied research efforts for Western. We, therefore, recommend that:

> The University should establish a Task Force to study the opportunities for contract and mission-oriented research at Western, to consider the feasibility of establishing a centre for advanced technology or an independent research organization on the campus, and to recommend ways and means of coordinating applied research activities at the University.

7. Improvement of Teaching

Good teaching, especially at the undergraduate level, benefits the entire University community. From the perspective of faculty development, increasing the quality of instruction can make teaching a more satisfying and rewarding experience for faculty members and may help to relieve the University's financial difficulties by making Western more attractive to potential students and by increasing the retention of currently enrolled students. It is important that faculty members be made aware of both the direct, personal advantages of improved teaching and the more indirect benefits.

To improve the quality of teaching and learning at the University, it seems essential to create an environment in which good teaching is appreciated, to provide incentives for instructors to improve the content of their courses and their methods of presentation, and to make information and assistance available to those who are motivated to improve their instructional skills. It is difficult, however, to suggest short term interventions or policy revisions which will achieve these general goals. The major reason for this difficulty is that ineffective teaching may result from any of a wide variety of factors, ranging from lack of motivation and inadequate course design to disorganization and poor communication skills. An equally wide range of methods would, therefore, seem to be required to help instructors to increase the effectiveness of their teaching. Several possible methods are described in the submission from the Provost's Advisory Committee on Teaching and Learning, presented in Appendix D, but others might well be required to assist individual faculty members.

The Provost's Advisory Committee has pointed out that, at the present time, individual consultation is regarded as the most effective method of improving teaching skills. This being the case, the process of improving the general quality of instruction at Western is likely to be lengthy. Nevertheless, the process of instructional improvement might be facilitated to some degree by a central group of interested faculty members who could act as a clearinghouse for methods which have been found to be effective on this campus and elsewhere, could arrange instructional development activities on a university-wide basis, and could serve as a focal point for faculty members who wish to improve their teaching. The Provost's Advisory Committee, which has undertaken these functions for the past two years, has suggested that either this Committee or a similar one should be continued after the current funding from the Ontario Universities Program in Instructional Development expires in 1980.

We concur with this suggestion and recommend that:

> The University should continue to sponsor, and to fund at an appropriate level, a committee of faculty members to advise the Provost on matters pertaining to the improvement of teaching and learning at Western and to organize activities designed to improve the quality of instruction by faculty members and graduate teaching assistants across the University.

Because we recognize that the nature of instruction and, hence, the kinds of activities needed to promote effective teaching vary across faculties, we recommend that:

> Each Faculty should be encouraged to develop activities to foster good teaching within its jurisdiction. In particular, each Faculty should consider the institution of orientation programs for new instructors.

Finally, because feedback from students and peers can provide useful information which can assist faculty members to improve their teaching methods, we recommend that:

> The University should continue its efforts to improve the methods by which teaching is assessed for both evaluative and diagnostic purposes.

8. Integration of Extension and Summer Teaching

At present, courses for degree credit offered during the Intersession, Summer Evening and Summer Day Sessions and at outside centres during the Winter Session are taught either by full-time faculty members or by other qualified individuals who do not hold full-time appointments at the University. These instructors receive stipends of approximately $3,000 per course from the budget of the Faculty of Part-Time and Continuing Education. Course registrants are credited to that Faculty rather than to the Faculties that offer the courses intramurally.

These arrangements are necessary in times of high enrollment when full-time faculty members' heavy intramural teaching loads make it necessary to provide incentives for them to undertake teaching assignments in addition to their regular duties. However, these arrangements seem less well suited to the current needs of departments which are suffering from low enrollments. To respond to the needs of such departments, it has been suggested that, as far as possible, summer and extension courses should be integrated into departmental teaching responsibilities.

Under integration, responsibility for teaching all courses for degree credit, including those offered during the Intersession, Summer Evening and Summer Day Sessions and those offered off-campus during the Winter Session, would be assigned to Faculties and Departments. Faculties and Departments would be credited with all registrations in their credit courses and funds would be allocated accordingly. Faculties and Departments would be responsible for staffing all credit courses. However, the Faculty of Part-Time and Continuing Education would continue to determine the demand for extension and summer courses, coordinate the extension and summer offerings at outside centres, assist in the preparation of calendars, make local arrangements at extension centres, and the like, and would be allocated funds to support these functions.

It is important to consider several aspects of the proposal to integrate extension teaching very carefully because, if implemented, integration could simultaneously yield benefits to the University and create serious problems. First, it has been suggested that integration would provide work for faculty members who are underemployed either because their departments cannot mount a sufficient number of intramural courses to employ all its members, or because the intramural courses which faculty members are assigned to teach are not enrolled to capacity. In some departments, integration would increase the total number of courses and students taught and thus would increase the likelihood that continuing faculty members could be retained to teach full-time in their home departments. In consequence, the need to release faculty members or to solve the problems of underemployment by other means, such as transfers to other units, part-time appointments or early retirement, would be reduced.

Integration might be particularly beneficial to departments with shrinking honors and graduate enrollments. The majority of extension and summer courses are 020- or 100-level survey courses which can be taught by most, if not all, department members. Thus, to cite a simple example, a department which cannot support all its members by teaching twenty honors courses on campus each year might improve its position substantially by offering ten intramural honors courses as well as ten 020- or 100-level extension or summer courses.

However, integration cannot be expected to solve all the problems of underenrolled departments. In general, departments with small intramural enrollments also have small extension and summer school enrollments. Therefore, even after integration there might not be a sufficient number of courses to employ all department members. Moreover, integration would do little to assist departments which cannot offer courses at extension centres because of the need for laboratories or specialized equipment.

For departments which have maintained large intramural enrollments and which also have large summer school and extension enrollments, integration could cause severe difficulties. At present, it is necessary for the Faculty of Part-Time and Continuing Education to appoint large numbers of non-university faculty to cover the summer and extension offerings of such departments. Under integration, sufficient funds might be provided initially to permit these departments to continue the practice of making part-time temporary appointments to cover their extension and summer courses. However, it can be anticipated that, as the University's operating revenue declines, departmental budgets will be reduced to the point where it would be impossible to hire sufficient part-time instructors to cover extension and summer courses. At that stage, it would become necessary for the departments either to make unacceptable increases in the teaching loads of full-time faculty members or to reduce the number of summer and extension courses taught.

The problems caused by integration would be particularly acute in those departments with large graduate programs in addition to their high intramural and extension enrollments. To increase teaching loads in these departments would place an additional burden on faculty members who are heavily committed to graduate supervision and research as well as to teaching and administrative duties. Moreover, teaching during the summer, particularly at outside centres, would take faculty members away from their departments during the time that they normally devote to the supervision of graduate research projects and the preparation of theses. Thus, in the long run, integration would place additional demands on faculty members who were already fully employed and might well lower the quality of the graduate programs in such departments. If graduate enrollments were to decline as a result, the University's financial situation would be harmed, not helped, by integration.

It has been suggested that a second benefit of integration would be increased flexibility in teaching assignments. For instance, under integration, some faculty members might choose to spread their teaching duties over longer periods in order to have more time during the Winter Session to devote to research. A department might ask a faculty member with particular expertise to teach his specialty course during both the Winter and Summer sessions. Nevertheless, the need to schedule teaching duties over the entire year, to distribute assignments to teach during the summer and in outside centres in an equitable fashion, and to incorporate travel time into the teaching schedule would greatly complicate the task of assigning teaching duties to department members.

Third, integration would undoubtedly affect the morale of the faculty. Those whose prospects for continued employment were increased and those who regard summer and extension teaching stipends as inequitable (see Section IV.3) could be expected to respond positively to integration. However, it can be anticipated that those who have not taught extension courses voluntarily in the past would resist attempts to incorporate extension teaching into their regular duties. Those who have relied upon extension teaching to supplement their incomes are also likely to be dissatisfied if integration is implemented.

Fourth, it has been suggested that integration would improve the quality of extension and summer courses by providing effective instructors who do not normally volunteer to teach such courses. The opposite suggestion, that the quality of instruction would decline if extension courses were not taught by volunteers, has also been made.

It is equally difficult to assess the financial impact of integration. It is sometimes argued that if extension courses were integrated into the normal teaching loads of underemployed faculty members, the University would save the stipends which are currently paid to extension and summer instructors. Conversely, it is argued that it is more costly to pay the salary of a full-time faculty member than to have an equivalent number of courses taught by part-time temporary instructors. For example, the salary paid to one newly-appointed Assistant Professor would cover approximately six extension stipends. Further, because the demand for courses in particular disciplines rarely matches the supply of underemployed faculty members, it is probable that some funds would have to be allocated for part-time instructors to cover courses which could not be staffed by full-time faculty members.

Finally, integration might have the advantage of freeing the Faculty of Part-Time and Continuing Education to devote a greater portion of its time to developing and maintaining a wide range of non-credit courses and special programs for professional and community groups. Because that Faculty would continue to pay instructors to teach such courses, faculty members deprived of income from extension teaching could earn additional stipends in this way. More important, non-credit courses and special programs are valuable not only in their own right but also as a means of attracting students to the credit courses offered by the University. It is possible, however, that decentralization would complicate arrangements for extension and summer courses and reduce the University's ability to respond to the needs of extension students for particular courses.

On balance, it appears that integration of extension and summer school into departmental teaching responsibilities would provide benefits but would also create difficulties. From the perspective of the University as a whole, the advantages and disadvantages appear to be about evenly balanced. However, a closer look reveals considerable variation in the effects of integration on individual departments. Those which cannot employ their members fully with intramural teaching but which could attract reasonable numbers of students to extension courses have much to gain from integration. Those with little or no involvement in extension and summer teaching would be relatively unaffected. However, those with large intramural enrollments as well as large enrollments in their extension and summer courses can expect few benefits from integration and, particularly in departments with strong graduate programs, may foresee potential damage. The proposal to integrate extension teaching, therefore, challenges the University to develop policies which will provide some relief for underenrolled departments while protecting departments with large enrollments. Further, it is essential that, if integration is to take place, it should be done in such a way as to minimize the disruption of existing summer school and extension programs.

One possible solution would be for the University to accept the principle that summer and extension teaching should be integrated with intramural teaching but to implement integration in a selective and experimental manner over a period of time. Recommendations of departments to be integrated initially should be made with due regard to the wishes and needs of each department, as determined by the department Chairman and Dean, the Vice-President (Academic) and, where appropriate, the Dean of Graduate Studies.

By beginning with those departments which have the most to gain from integration, the University could assist those units which were suffering most from underenrollment. Integrating a few departments on an experimental basis would also permit the University to gain valuable experience with the integration process, to develop procedures to maximize the success of integrated teaching responsibilities, and to acquire more conclusive information about the costs and benefits of integration before proceeding further. In addition, the gradual introduction of integrated teaching duties would minimize any negative effects on the existing extension and summer school programs. The alternative of implementing integration simultaneously across all sectors of the University would be extremely difficult to manage and unnecessarily disruptive for all concerned. We therefore recommend that:

> The University should develop a policy under which responsibility for the teaching of all courses for degree credit (including those taught during the three summer sessions and off-campus during the Winter Session) would be assigned to Faculties and Departments, registrations in all courses for degree credit would be credited to Faculties and Departments, and funds would be allocated with due regard to all teaching responsibilities of Faculties and Departments such that, following integration, the teaching loads of Departments which are currently above their Faculty average should not increase further relative to other departments in their Faculty. This policy should be implemented on a selective and experimental basis over a period of time, with Departments being recommended for initial integration by the Vice-President (Academic) in consultation with relevant Chairmen, Faculty Deans and, where appropriate, the Dean of Graduate Studies.

It is important to note that, following integration, reallocation of salary funds for extension and summer teaching from the Faculty of Part-Time and Continuing Education to the Departments and Faculties offering credit courses would not preclude the appointment of part-time temporary instructors to cover courses which could not be staffed by full-time department members. We recommend that:

> Following the integration of a Department, the Chairman should assign summer and extension classes to continuing full-time faculty members as part of their teaching loads. However, if the demand for summer and extension courses exceeds the staffing capability of a Department, the Chairman and Dean should continue the current practice of appointing part-time instructors to teach credit courses either on- or off-campus.

Finally, we recommend that:

> The Faculty of Part-Time and Continuing Education should continue to staff the summer and extension courses for all non-integrated Departments. Following the integration of Departments, the Faculty of Part-Time and Continuing Education should retain responsibility for determining the demand for extension and summer courses, coordinating course offerings during the summer sessions and at extension centres, assisting in the preparation of calendars, making local arrangements at outside centres, and performing similar administrative functions. Therefore, the budget allocated to that Faculty should be sufficient to cover these functions.

9. Individualized Work Loads

At present, in a typical department all continuing faculty members are assigned approximately the same work load. They are expected to devote roughly equal amounts of time to teaching and research and a smaller portion of time to committees and other administrative tasks. One reflection of the University's expectations in this regard is the "40-40-20" split that has been used for several years in some units to determine salary adjustments for merit.

Despite these expectations, it is clear that there are substantial individual differences in faculty member's abilities and interests. Some are highly skilled at communicating the results of others' research to students but are less effective or interested in personal research. Others are interested primarily in the generation of new knowledge and regard their teaching duties as less rewarding than research. Moreover, a faculty member's relative interest in teaching, research and other responsibilities may vary from time to time. Therefore, it has been suggested that the University might employ its human resources to maximun advantage by encouraging deviations from the guidelines for some faculty members.

This apparently straightforward suggestion has, however, two aspects with different implications for the University. The first merely involves flexibility in assigning work loads, particularly teaching duties. In many, if 'not all departments, it is currently possible for faculty members to arrange unusual teaching loads in order to accommodate their individual needs. Such flexibility is necessary for the effective management of departments and should, in our view, be continued.

Individualization of faculty work loads could also imply that evaluations of faculty members for merit increases and other purposes would be based largely, or even solely, on their performance of their preferred activities. Such arrangements, currently possible in some units, should be undertaken cautiously because, if taken to the extreme, they could cause imbalances in teaching or other assignments within a unit or inequities in evaluations of merit. To avoid such potential difficulties, the University should permit only moderate deviations from the usual expectations, with none of teaching, research or administrative duties being excluded. For example, instead of a "40-40-20" time allotment, the faculty member's commitments to teaching and research might be permitted to vary between 20% and 70% and his other responsibilities might be allowed to vary between 10% and 30%. Moreover, before an individualized work load is undertaken, the faculty member and the University should develop an explicit agreement specifying the period covered by the individualized work load, the duties of the faculty member and the method of weighting his evaluations for merit during that period. We recognize that such a proposal would require close scrutiny by both the administration and the Faculty Association. We, therefore, recommend that:

> The University should investigate the feasibility of expanding opportunities for tenured faculty members to contract to undertake individualized work loads for specified periods and to have their performance during the contract period weighted accordingly for the purpose of assigning salary adjustments for merit.

Given the brevity of the probationary period and the importance of assessing individuals' skill at both teaching and research for purposes of granting tenure and promotion to Associate Professor, we suggest that faculty members with probationary appointments should be excluded from any plan for individualized work loads which may be developed.

10. Dismissal for Cause

The University currently has procedures for dismissing tenured faculty members for "cause" such as gross misconduct or persistent neglect of duty (Conditions of Appointment, Section C). However, these procedures are generally viewed as too time-consuming, expensive and painful to be employed in any but the most extreme cases.

Nevertheless, during times of financial difficulty, the University cannot afford to retain a tenured faculty member for whom "cause" could be demonstrated. Retention of such an individual may prevent his department from appointing a new faculty member, retaining one who is currently appointed or, in departments with a high proportion of tenured members, granting tenure to a junior faculty member. Thus, the effectiveness of the department is reduced and morale suffers.

We concur with the general view that chairmen or other administrators who perceive that a faculty member is performing ineffectively or devoting insufficient time to his academic duties can, in most instances, either help the faculty member to improve or make mutually satisfactory alternative arrangements for him such as alternative training, a part-time appointment or early retirement. However, when all such attempts fail, we urge the University to initiate dismissal proceedings.

11. New Appointments

As outlined in Section III.3, there are at least three ways in which the University could bring young scholars to the campus for extended periods. First, funds released by payments from research contracts or funds released when faculty members are granted some types of leaves of absence could be used to support post-doctoral fellows or research associates. Second, by careful coordination of sabbatical and other leaves, departments or faculties might gain sufficient funds to support a leave replacement. For example, 25% of the salaries of three faculty members, each earning an annual salary of $24,000, would be adequate to support a new faculty member for one year at the current salary floor for Assistant Professors. Third, the University could use, as far as possible, salary funds released by implementing a number of procedures discussed in earlier sections of this report to support new full-time appointments, preferably probationary appointments. To enable the University to retain and to appoint sufficient numbers of faculty members to meet its future needs, we strongly recommend that:

> The University should, as far as possible, allocate funds released by faculty development programs to maintain the quality and effectiveness of academic programs, to retain existing faculty positions, where justified, and to appoint new members of faculty.

12. Evaluation of Methods of Faculty Development

In addition to introducing a range of programs to enhance faculty members' academic effectiveness and to improve career prospects for new and continuing members of faculty, it is important to evaluate these programs on a regular, systematic basis. As discussed in Section III.4, such monitoring is necessary to enable the University to modify existing arrangements and to develop additional programs as circumstances change. Therefore, we recommend that:

> The University should monitor and evaluate, on a regular basis, the effectiveness of programs introduced to encourage faculty development.

V. Conclusion

For the remainder of the century, the University will face the challenge of invigorating its continuing faculty members and finding places for young scholars during times of severe financial difficulty. It must be recognized at the outset that no single method can achieve all the University's goals. Taken individually, the measures recommended in this report can be expected to assist the University to only a small extent. However, employed in combination, as outlined in Section III, it is our hope that these measures would alleviate the University's problems to a substantial degree.

We would like to highlight certain of our recommendations because we anticipate that their implementation would yield important benefits to the University in the short term. First, the University should develop and implement part-time appointment status for continuing members of faculty, along the lines suggested in Section IV.3, as soon as possible. Second, policies governing leaves of absence should be revised and expanded. Regarding sabbatical leave, the most pressing need is to discontinue the policy of providing full salary for faculty members who are on leave for six months. It is also important to introduce the additional categories of rotating, educational, exchange and departure leaves. Third, in order to provide full employment for faculty members whose departments suffer from low enrollment, the University should give serious consideration to the gradual integration of extension and summer teaching into the regular teaching responsibilities of Departments and Faculties, and the arrangement of individualized work loads for faculty members who are particularly adept at one of teaching, research or administration. Fourth, for those who cannot be fully employed in their home departments, the University should search actively for opportunities to transfer faculty members to other academic or non-academic units. When arranging such transfers, however, it is essential for the University to take all possible steps, including the granting of educational leave for alternative training, to ensure that faculty members are well qualified for their new positions. Finally, the University should provide central coordination to encourage and assist faculty members who wish to improve their teaching skills, participate in exchange programs, or undertake applied research projects. In the latter regard, we urge that a Task Force be struck in the near future to consider how coordination for applied research might best be arranged.

The majority of these recommendations, and the others presented in Section IV, are designed to stimulate and develop continuing faculty members while freeing currently committed salary funds. In our view, it would be counterproductive for the University simply to absorb the released funds into the general University budget to offset short term financial deficits. To preserve the academic vigor of the University in the long term, it is crucial that a substantial proportion of the monies released be reserved for the revitalization of continuing faculty members, the retention of existing faculty positions, and the appointment of new members of faculty.

List of Recommendations

1. The policy of granting sabbatical leave for six months at full salary should be discontinued. (Section IV.1.i)

2. A faculty member who is eligible for a twelve-month sabbatical leave should have the option of being granted, instead, sabbatical leave for six months at 75% salary and performing normal duties at full salary during the remaining six months of the "sabbatical year." (Section IV.1.i)

3. The Senate Leaves Committee should be empowered to recommend that the upper limit for total remuneration, comprised of up to 75% of salary plus funds from external sources, be raised to a maximum of 120% of salary plus travel expenses in individual cases where a faculty member can demonstrate the need for unusual levels of support during a sabbatical leave. (Section IV.1.i)

4. A faculty member who, over a seven-year period, has been granted a leave from the University, up to one full year, for rotating leave, exchange leave or, in some cases, educational leave, but has served the University on a full-time basis for six of the seven years, should be permitted to apply for sabbatical leave to begin after the completion of the seventh year. (Section IV.1.i)

5. The University should develop policies and procedures governing a voluntary system of rotating leave for tenured faculty members and should implement these policies for a trial period. (Section IV.1.ii)

6. The University should introduce educational leaves, for periods up to twelve months, for full-time tenured faculty members. Those granted "educational leave for advanced training" should receive 75% salary and should be permitted to accept external remuneration, up to a total of 100% of salary plus travel expenses. Those granted "educational leave for alternative training" should receive 100% salary and should be permitted to accept external support for relocation and tuition costs. Benefit contributions for all faculty members on educational leave should be based on full salary. (Section IV.1.iii)

7. When a unit head can demonstrate that the granting of an educational leave places unreasonable demands upon the other members of the unit, the appointment of replacement personnel should be supported from the Academic Development Fund. (Section IV.1.iii)

8. Tenured members of faculty holding part-time appointments should be permitted to apply for educational leave for advanced training, with the base salary from which support for such leaves is computed being prorated as a function of the percentage of full time the faculty member had contracted to engage in University duties. (Section IV.1.iii)

9. The University should introduce exchange leave for faculty members who wish to participate in faculty exchange programs. (Section IV.1.iv)

10. The University should investigate the feasibility of introducing departure leave for tenured members of faculty. (Section IV.1.v)

11. A member of the central administration should be responsible for informing faculty members about opportunities for exchanges and assisting participants in exchange programs. (Section IV.2)

12. The University should encourage the development of additional exchange programs, particularly those which are discipline-based and which permit exchanges for less than a full year. (Section IV.2)

13. The University should consider making funds available to support, at least in part, the relocation expenses of faculty members who participate in exchange programs. (Secton IV.2)

14. The University should endeavour to have the removal expenses of faculty participants in exchange programs declared tax deductible by the Department of National Revenue. (Section IV.2)

15. The University should implement policies and procedures governing part-time appointments for continuing members of faculty according to the principles set out above. (Section IV.3)

16. On the recommendation of the Dean, professors who choose to retire before age 65 under the Early Retirement Compensation Program should be granted the status of Professor Emeritus at the time of their retirement. (Section IV.4)

17. When a faculty member retires, either at the normal retirement age or under the provisions of the Early Retirement Compensation Program, the released funds should be used, as far as possible, for the appointment of a new faculty member, preferably in the same budgetary unit. (Section IV.4)

18. The University should make every effort to find suitable positions in other units for faculty members who are underemployed in their home departments. Transfers, involving either joint or full-time appointments, should be made with due regard for the interests and wishes of both the faculty member and the receiving unit. Where required, the University should grant educational leave for alternative training to permit the faculty member to prepare for his new duties. (Section IV.5)

19. The University should explore the possibility of making career counselling services available to faculty members. (Section IV.5)

20. The University should participate actively in the development of a provincial roster of faculty members seeking other positions within and outside the university system. (Section IV.5)

21. The University should consider initiating or participating in a provincial or national conference on the problems of providing alternative training for faculty members. (Section IV.5)

22. The University should establish a Task Force to study the opportunities for contract and mission-oriented research at Western, to consider the feasibility of establishing a centre for advanced technology or an independent research organization on the campus, and to recommend ways and means of coordinating applied research activities at the University. (Section IV.6)

23. The University should continue to sponsor, and to fund at an appropriate level, a committee of faculty members to advise the Provost on matters pertaining to the improvement of teaching and learning at Western and to organize activities designed to improve the quality of instruction by faculty members and graduate teaching assistants across the University. (Section IV.7)

24. Each Faculty should be encouraged to develop activities to foster good teaching within its jurisdiction. In particular, each Faculty should consider the institution of orientation programs for new instructors. (Section IV.7)

25. The University should continue its efforts to improve the methods by which teaching is assessed for both evaluative and diagnostic purposes. (Section IV.7)

26. The University should develop a policy under which responsibility for the teaching of all courses for degree credit (including those taught during the three summer sessions and off-campus during the Winter Session) would

be assigned to Faculties and Departments, registrations in all courses for degree credit would be credited to Faculties and Departments, and funds would be allocated with due regard to all teaching responsibilities of Faculties and Departments such that, following integration, the teaching loads of Departments which are currently above their Faculty average should not increase further relative to other departments in their Faculty. This policy should be implemented on a selective and experimental basis over a period of time, with Departments being recommended for initial integration by the Vice-President (Academic) in consultation with relevant Chairmen, Faculty Deans and, where appropriate, the Dean of Graduate Studies. (Section IV.8)

27. Following the integration of a Department, the Chairman should assign summer and extension classes to continuing full-time faculty members as part of their teaching loads. However, if the demand for summer and extension courses exceeds the staffing capability of a Department, the Chairman and Dean should continue the current practice of appointing part-time instructors to teach credit courses either on- or off-campus. (Section IV.8)

28. The Faculty of Part-time and Continuing Education should continue to staff the summer and extension courses for all non-integrated Departments. Following the integration of Departments, the Faculty of Part-Time and Continuing Education should retain responsibility for determining the demand for extension and summer courses, coordinating course offerings during the summer sessions and at extension centres, assisting

in the preparation of calendars, making local arrangements at outside centres, and performing similar administrative functions. Therefore, the budget allocated to that Faculty should be sufficient to cover these functions. (Section IV.8)

29. The University should investigate the feasibility of permitting tenured faculty members to contract to undertake individualized work loads for specified periods and to have their performance during the contract period weighted accordingly for the purpose of assigning salary adjustments for merit. (Section IV.9)

30. The University should, as far as possible, allocate funds released by faculty development programs to maintain the quality and effectiveness of academic programs, to retain existing faculty positions, where justified, and to appoint new members of faculty. (Section IV.11)

31. The University should monitor and evaluate, on a regular basis, the effectiveness of programs introduced to encourage faculty development. (Section IV.12)

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APPENDIX A

Terms of Reference of the Presidential Committee on Faculty Development

Presidential Committee on Faculty Development

The purpose of the Committee is to explore ways and means and make recommendations that will:

(a) expand opportunities for Faculty members to develop their full potential for academic work and expand their experience;

(b) enlarge the career possibilities of Faculty members;

(c) afford opportunities to bring new people and ideas into our Faculty.

The terms of reference for the Committee are as follows:

1. To examine current arrangements for individual academic development and recommend ways in which existing arrangements might be improved. These would include leave provisions, OUPID, assistance for the improvement of teaching, existing Faculty exchanges.

2. To explore and recommend new arrangements to facilitate individual academic development including faculty exchange schemes, extended leave of absence, retirement provisions, retraining, programmes to improve teaching, and so forth.

The Committee is asked to submit its report including its recommendations, together with their budgetary implications, no later than January 1, 1979.

Committee Size: 6 members

Proposed Chairman: S. Pepper

393

APPENDIX B

Proposal for "Seasonal Full-Time Status for Academic and Administrative Staff," University of Western Ontario

SEASONAL FULL-TIME STATUS

for

ACADEMIC AND ADMINISTRATIVE STAFF

I GENERAL: CYCLICAL WORKLOADS

A significant portion of activity within a university is seasonal in nature, subject to annual cycles. Although these patterns may occur in different departments or positions at different times throughout the year, the most prevalent example is the increased workload created by the September to April academic calendar. This is clearly the busiest time of the year for many REGULAR FULL-TIME faculty and staff. In fact, for years many Faculties have been required to supplement their teaching and support resources during these months through a variety of "temporary" and/or "part-time" appointments, often involving the same individuals year after year.

II CURRENT PRACTICES: PROBLEMS

Inequities have been identified in regard to present University employment practices for some of the temporary faculty and staff appointed to meet these cyclical variations in workload (1 and 2 below). Additionally, current University financial concerns have created a need to review the cost effectiveness of our REGULAR FULL-TIME status (3 below).

1. Recurring Temporary Appointments: Some faculty and staff are appointed on 8 or 9 month contracts of a full-time, but Temporary nature. Many of these individuals have been with the University over a number of years, are viewed as integral and valuable members of their department or Faculty, and are all

in name "continuing" appointments. The Temporary status, however, does not permit coverage under the University's benefits plans and/or protection under the applicable policies covering REGULAR FULL-TIME faculty or staff.

2. Full Year vs Part Year Limited Term Contracts: While some faculty members are given full-time, one year Limited Term contracts (and enjoy benefits and policy coverage as a result), others are being offered 8 or 9 month Limited Term contracts on a full-time basis, often as a result of short financial resources. These latter persons, however, while *de facto* assisting the University in meeting its financial objectives, a currently precluded from benefits, etc.

3. Regular Full-Time Faculty and Staff: The cyclical nature of many REGULAR FULL-TIME appointments has been recognized, either by the departments and/or the individuals themselves. It is anticipated that many would be interested in some form of part-year employment relationship at the University if the arrangeme were such as to a) continue their participation in the benefits plans, b) ensure coverage under the REGULAR FULL-TIME Faculty o Staff policies, and c) have their position guaranteed after a period of absence.

III OBJECTIVES

1. To provide an attractive and suitable alternative to REGULAR year-round employment for a segment of the University's current and future faculty and staff.
2. To provide a mechanism for reflecting the cyclical workload of many positions and/or units, while permitting the maintenance o

a continuing relationship between an employee and the University.

3. To provide a means of substantially reducing University salary costs.

4. To eliminate various inequities now perceived within the University's employment practices.

IV RECOMMENDATION

1. To achieve these objectives, it is proposed that the University formally adopt a new personnel status to be known as SEASONAL FULL-TIME. This status would cover ongoing employment relationships, where the workload is subject to definite annual cycles involving, in each case, a pre-determined "contact period" at work and, as well, a scheduled period of absence each year.

a) Academic Staff: The use of SEASONAL FULL-TIME status for faculty appointments would in some cases reflect the continuing nature of the relationship, while in others it would acknowledge the similarities between one year and less-than-one-year full-time Limited Term contracts. It would recognize, in the latter cases, the equal potential for such Limited Term faculty to gain re-appointment in the following year under the conditions outline in the Conditions of Appointment document.

b) Administrative Staff: The use of SEASONAL FULL-TIME status for administrative staff would in all cases reflect the existence of a part-year, but recurring workload, as well as a continuing relationship with the University. Moreover, as with staff with REGULAR status, SEASONAL appointments/positions would not involve a true "Termination Date" identified at the time of hiring, unlike Casual and/or Temporary Staff.

2. The term SEASONAL FULL-TIME will be used to describe three aspects of any given situation as determined by the steps outlined later in Section VI and VII. It will describe, in order, the status of:

   i) the position - whether it involves the creation of a new position to replace existing Temporary arrangements, or the conversion of an existing RF position to SEASONAL status, the decision and process must begin with the status of the position

   ii) the employee - once appointed, the individual's official Employee Status will be SEASONAL FULL-TIME.

V. CHARACTERISTICS

1. SEASONAL FULL-TIME appointments would be subject to a minimum on-the-job "contact period" of seven months.

2. Because REGULAR and SEASONAL stati are indicative of ongoing relationships and thereby similar in intent, and to encourage voluntary participation by current REGULAR FULL-TIME employee SEASONAL FULL-TIME employees would be accorded terms and conditions of employment comparable to REGULAR FULL-TIME appointments:

   a) SEASONAL FULL-TIME employees would be covered by the appl Board of Governors policies affecting REGULAR FULL-

Faculty and/or Staff.

b) Vacation entitlement would be per a proration of the schedule applicable to REGULAR FULL-TIME faculty or staff. The proration would be taken to the nearest half day and vacations would be taken during the individual's "contact period" in order to parallel the practice with REGULAR employees.

c) Days recognized by the University as Statutory Holidays during the scheduled "contact period" would be treated in a normal manner per REGULAR status (ie. not applicable during the period of absence).

d) Full participation in the University's benefits programs would be extended to persons appointed to a SEASONAL FULL-TIME position. For pension and life insurance purposes, the "Benefits Base" would be the "actual" salary described below.

3. Persons appointed to a SEASONAL FULL-TIME position would have the normal annual salary for the position prorated according to the number of months or weeks involved in the "contact period", the result ("actual" salary) being divided by 12 and paid monthly throughout the year. This arrangement would preclude the need for unnecessary paperwork by the Budget Unit, the individual, and the Personnel Department in order to effect yearly start/stop action to payroll and benefits. Moreover, it would provide the faculty or staff member with a steady income, and would clearly demonstrate the continuing nature of the relationship.

4. The establishment of any individual SEASONAL position should be as of the first day of the scheduled "contact period" for the budget year.

   a) Current REGULAR faculty or staff would receive the 1978-79 annual salary up to the day before commencing the new status (eg. August 30th), and then begin the contact period at one twelth of the corresponding "actual" salary as of the day specified (eg. September 1). Thus, at the end of the "contact" period the "actual" salary would continue to be paid monthly during the period of leave.

   b) Where the new status is being considered for a new appointment, or for the re-appointment of a person previously subject to a recurring Temporary arrangement, the "actual" salary would begin on the first day of employment.

5. If a SEASONAL FULL-TIME employee terminated during any year prior to the next anniversary of his or her SEASONAL commencement date, the Budget Unit would be responsible for paying the difference between the amount earned and that already paid as of the date of termination.

VI. APPLICATION

1. To be successful, the identification of a situation where SEASONAL status might be utilized must be a product of voluntary consensus between BOTH parties affected. While the

interests of the individual involved must be recognized, any SEASONAL appointment would necessarily be subject to the advance approval of the appropriate Dean or Budget Unit Head.

2. In evaluating the applicability of a SEASONAL arrangement, the Dean or Budget Unit Head must take into consideration such criteria as the individual's level of performance, the nature and demands of the position, the present and future financial plans for that Budget Unit, etc.

3. In determining which situations might first be reviewed for SEASONAL designation, Budget Unit Heads are encouraged to consider current REGULAR FULL-TIME positions, as well as those involving recurring 8 to 10 month TEMPORARY appointments. In such cases, consultation with the persons affected would be required.

4. Where a new appointment is involved, a Budget Unit Head would have the option of utilizing one of the existing stati in regard to the vacancy (eg. REGULAR, TEMPORARY, CASUAL), or of introducing the SEASONAL status if such appeared appropriate in view of the considerations described in Section 2 above.

VII. PROCEDURE

It is critical to ensure that each situation identified for SEASONAL status is clearly documented in advance of its implementat and that all parties are fully aware of the particulars involved.

1. Once a situation is identified (and mutual agreement has been reached between the Budget Unit Head and the individual), the

Budget Head should complete an "Authorization of Seasonal Stat form indicating the position or appointment involved, the dates of the "contact" and "absence" periods, the annual and "actual" salaries, the commencement date, and the reason for the SEASONAL arrangements. This form should be signed by the employee affected to indicate his or her concurrance with and knowledge of the particulars involved.

2. This form, together with supportive documentation if any, should be forwarded through the appropriate Dean to the Personnel Department (paralleling the present Position Action Form procedure) for Vice-Presidential approval.

3. Once authorized by the Vice-President, the status of the position will be formally established as SEASONAL FULL-TIME, and a signed copy of the approval will be returned by the Personnel Department to the Budget Unit Head and the individua involved.

4. In accordance with Board policy, the Employment Section of the Personnel Department will conduct all recruiting for administrative staff positions and should also undertake interviews with all REGULAR or TEMPORARY staff who convert to a SEASONAL appointment, in order to ensure complete counselling regarding the new status (benefits plans, etc.)

5. Similarly, all faculty appointed on a SEASONAL basis should arrange an interview with the Benefits Section of the Personnel Department for documentation purposes.

VIII. COST IMPLICATIONS

It is not possible to estimate actual cost implications becau any added expenditures or savings would depend on the extent to which it is used and the length of the various "contact periods" involved.

1. A minor additional expense would result for the University paying its portion of any benefits premiums and/or pension contributions for persons now on TEMPORARY status. This would approximate an additional 10% of the actual salary in any instance, except where an administrative staff member under 30 years of age chooses to opt out of the pension plan, in which case it would be closer to 4%. The issue here, however, is whether or not the expense is worthwhile to eliminate perceive inequities.
2. Of potentially greater impact will be the salary [illegible] where current REGULAR employees opt for a SEASONAL arrangement The following example will indicate the potential savings with an 8 month contact period (eg. September to April).

REGULAR	Annual Salary	$9000	
	Benefits Cost (12%)	$1080	
	Current Cost		$10080
SEASONAL	"Actual" Salary	$6000	
	Benefits Cost (12%)	$ 720	
	Future Cost		$ 6720
	Savings to the University		$ 3360 (33%)

APPENDIX C

Reduced Periods of Responsibility Program, Queen's University

QUEEN'S UNIVERSITY REDUCED PERIODS OF RESPONSIBILITY PROGRAM
(from the Queen's Gazette--November 1978)

REDUCED PERIOD OF RESPONSIBILITY POLICY

Following consultation with various staff constituents, this revised policy has now been approved and will go into effect immediately.

Policy Objective

The basic objectives of the Reduced Period of Responsibility policy are two fold. The policy is designed to provide individuals with the opportunity to pursue interests which may not be related directly to their responsibilities to the University and to provide the University with some degree of flexibility in utilizing its financial and human resources.

General Principles

(1) Any full-time member of the academic or support staff who currently occupies a regular full-time position and who has a minimum of two years' continuous full-time service at the University may request and may be granted appointment with a reduced period of responsibility. Such an arrangement must be mutually agreed upon and shall not be unilaterally imposed upon any staff member. The Department Head and Dean or Administrative Head concerned shall consider each such request carefully in the light of the operational needs of the Department.

(2) A reduced period of responsibility may be taken in the form of a shorter work week, or a shorter work day. Such reduced periods of responsibility will normally encompass not less than seven months of working time in the year or three days or twenty-one hours per week (approximately 60 percent working time). There may be exceptions to the above general rule which will be dealt with on an individual basis. The staff member normally should be accorded part-time status if the working period is less than the above normal minima and if the arrangement runs for an indefinite period of time.

(3) A reduced period of responsibility will not change a staff member's normal security or rights as a regular employee of the University. As a general rule, faculty members on reduced responsibility will be considered eligible to apply for sabbatical leave after they have served the equivalent of six years full-time.

(4) The option of maintaining full fringe benefit protection at the level of the nominal annual salary or at the level of the actual salary received, will be provided where possible under the terms of the particular benefit plan, with the normal cost sharing arrangement continuing.

(5) A request to return to a full period of responsibility or to change the period of a reduced period of responsibility, whether at the initiation of the staff member or the Administrative Head, Department Head, or Dean concerned, should be made six months in advance (unless notice is waived by mutual consent). If there is not mutual agreement on the change in period of responsibility, whether to full-time or some other period, the Department Head, the Dean and/or the Director of Personnel Services, whomever is appropriate, will endeavour to find within one year suitable alternative employment within the University to accommodate the preference of the staff member concerned. If this cannot be accomplished then at the end of the one year period the individual should have to choose between accepting the change or resigning.

(6) The policy will be reviewed regularly.

Policy Elaboration

The policy applies to all full-time academic or support staff who currently fill a regular, full-time, twelve month position. To be eligible for a Reduced Period of Responsibility with benefits paid by the University, the staff member must have had a minimum of two years continuous full-time service with the University.

(1) All salaries will be established and quoted on an annual basis (normal salary) and paid in proportion to the time actually worked (actual salary). The option will be provided to receive payments of salary during the time actually worked or over the entire year. For example, the actual salary of a person on an eight-month reduced period (September 1 to April 30) could be paid over eight months or over twelve months. In the first-mentioned case, a person with a nominal salary of $12,000 would receive an actual salary of $8,000 at the rate of $1,000 per month for eight months. In the last-mentioned case, the actual salary of $8,000 would be paid at the rate of $666.67 per month for twelve months.

(2) Fringe Benefit plans can be continued based on the nominal salary or on the actual salary, subject to certain plan restrictions beyond the control of the University. The University will continue to pay its full share of the fringe benefit costs if the staff member makes a similar choice. For example, a person on a reduced period of eight-months who chooses to receive salary payments during the time actually worked may elect to have benefit plans continued for the other four months of the year.

(a) Life Insurance: To retain eligibility, premiums must be continued throughout the year. Coverage can be based on the nominal salary or on the actual salary.

(b) Long-Term Disability: To retain eligibility these premiums also must be continued throughout the year. Because of insurance carrier regulations, coverage and premiums under this plan must be based on actual salary. As this is an insurance plan, any benefits payable will not be affected by a shorter work year, i.e., L.T.D. Benefits for a person on claim will continue for as long as the illness lasts, regardless of prior leave arrangements. The normal 180 day waiting period will apply regardless of whether the employee is at work or on leave.

(c) Supplementary Medical: These premiums are not salary related and must be paid throughout the year to continue coverage. Thus, any medical expenses incurred will be eligible for reimbursement under the plan's terms, regardless of when they occur.

(d) U.I.C.: These premiums are based on actual salary payments and hence deductions will be made only during the time the staff member receives a salary from the University. If a staff member chooses to receive his pay over twelve months, U.I.C. premiums will be deducted each month in the normal manner.

(e) Pension Plan: The staff member has the option of maintaining contributions at the normal level based on the nominal salary matched by the University, and thus preserving maximum equity in the plan. Alternative coverage can be based on actual salary.

(f) Ontario Health Insurance Plan (OHIP): Membership in the Queen's group must be maintained during the periods of reduced responsibility. For those who choose to be paid over a twelve-month period, the cost of OHIP would be deducted from the monthly salary. Those who choose to be paid over the period worked, say eight months, must make arrangements with Personnel Services to cover their share of OHIP premiums during the period when no salary will be paid.

(g) Semi-Private Coverage: The options and requirements for this plan are similar to those for OHIP.

(h) Unemployment Insurance Claims: The University is required to issue a U.I.C. record of employment certificate indicating when there has been interruption of earnings and to provide the reason for the interruption. Such certificates will be issued, for example, when salary payments cease under an eight-month period of reduced responsibility when the salary is paid over the eight-month period. Any questions regarding unemployment insurance claims should be directed to the local U.I.C. office.

Vacations

Vacations will be on a prorated basis in accordance with the table shown below. A staff member taking a reduced period of responsibility will normally take the vacation entitlement during the working period.

PRO-RATED VACATION SCHEDULE OF ENTITLEMENT IN DAYS

			Months of Full Employment				
			8	9	10	11	12
Normal Full Vacation	2 wks.	(10 Days)	7	8	8	9	10
	3 wks.	(15 Days)	10	11	13	14	15
		(16 Days)	11	12	13	15	16
		(17 Days)	11	13	14	16	17
		(18 Days)	12	14	15	17	18
		(19 Days)	13	14	16	17	19
	4 wks.	(20 Days)	13	15	17	18	20
1 Month (Avg. 22 Days)			15	17	18	20	22
		(25 Days)	17	19	21	23	25

Example: Assuming a reduced working period of eight months, September 1 to April 30, and a vacation entitlement of three weeks, an individual would be entitled to ten days vacation before April 30 or after September 1.

Sick Leave

The sick leave policy of the University provides for payments of full salary for a period of up to six months for an absence resulting from sickness or injury. The full salary referred to in the sick leave plan will be the actual salary, not the nominal salary, of a member on a reduced period of responsibility.

The monthly salary payment to be continued under the sick leave plan will be that which was arranged for the reduced period of responsibility. Thus, situations may arise where monthly payments made under the sick leave plan will terminate at the end of one reduced period, and continue until the six month salary continuance provided for in the plan is exhausted. For example, if a staff member is on a reduced period of 10/12ths (September 1 to June 30) and becomes ill in May, his/her salary will be paid until the end of June. If the staff member is still ill September 1, his/her salary will be resumed until six months after the staff member first became ill (subject to adjustments for any monies owing the staff member from the University).

Salary Increases

Salary increases for those on reduced periods of responsibility will be calculated on the nominal salary in the same manner as all other staff. The actual salary will be increased in proportion to the increase in the nominal salary.

APPENDIX D

Submission from the Provost's Advisory Committee on Teaching and Learning

SUBMISSION TO PRESIDENT'S COMMITTEE ON FACULTY DEVELOPMENT

For several years many North American universities have been engaged in a variety of programs for the professional development of faculty. These programs have focussed on the capabilities of a stable and aging professoriat for dealing effectively with new and continuing responsibilities, the need to retrain redundant faculty and staff, the setting of appropriate institutional goals in time of restraint, and the integration of institutional goals and the development, curtailment or redesigning of academic programs and courses. The increased attention being given to the concept of faculty development in a period of declining enrolment and shrinking resources is underscored by such recent publications as Faculty Development in a Time of Retrenchment (The Group for Human Development in Higher Education and Change Magazine, 1974) and Jerry G. Gaff, Toward Faculty Renewal (Jossey-Bass, 1975). We strongly recommend that the members of your committee read these important publications before reaching any conclusions about policies and procedures for faculty development at Western.

As Gaff and Centra (see accompanying article, "Types of Faculty Development Programs") point out, a significant aspect common to all programs is a concentration on the development of university faculty as teachers. Most university faculty have developed what teaching skills they have in pedagogic solitude and incidentally, while assuming that good teaching depends primarily on one's acquired knowledge in a discipline. Although scholarly competence is a necessary condition for teaching effectiveness, it is not a sufficient condition: knowledge is not automatically transferable. Not all academics have the ability or talent to translate knowledge into a learnable form, and even good teachers and good courses can become fixed and stale. Because existing faculty development programs recognize that the primary professional activity for most faculty members centers on their teaching role, a central part of the faculty development concept is the improvement of instruction:

> The basic assumptions are that the instructional behaviour of faculty members is a learned complex of knowledge, attitudes, values, motivations, skills, and sensitivities, and that faculty members may learn to improve these instructional competencies. The focus is directly on the improvement of instruction, and the aim is to help faculty develop in the several aspects of their instructional roles. Efforts are now being made to assist faculty members to reconsider their traditional conceptions about teaching and learning, expand their instructional repertoire, sharpen their sensitivities and skills in working with students and colleagues, and work effectively with new techniques, new programs, and new students. In short, attempts are being made to help faculty members develop greater competence and a greater sense of efficacy as teachers.
>
> (Gaff, pp. 4-5)

The most effective attempts, according to Centra, have provided individual assistance in course design, teaching strategies, testing, and teaching aids; confidential analysis of teaching effectiveness by a consultant; and travel funds for faculty to attend educational and professional conferences. Although workshops and seminars on educational objectives and teaching skills are a necessary form of publicity, particularly for beginning programs, they are not rated as very effective in changing faculty members' attitudes and behaviours.

This is corroborated by Wilbur J. McKeachie, Director of the University of Michigan's Center for Research in Learning and Teaching, who claims that the most effective and enduring work, the practice most likely to generate change, is one-to-one consultation. But for any instructional development practice to gain more than temporary faculty acceptance, there must be an actual and perceived institutional commitment to the encouragement and recognition of good teaching. Financial support is necessary, but so too is a supportive institutional environment which seeks to develop a more systematic assessment of teaching in all its aspects and an equitable weighting of the results of this assessment in promotion and tenure decisions.

At Western, the Provost's Advisory Committee on Teaching and Learning (PACTL) has, since 1976, financed experimentation with new teaching techniques and course design and the retraining of selected faculty members in instructional development activities, subsidized travel to educational conferences and seminars at other centers, and conducted workshops and seminars on teaching philosophy and methodology. There has been a strong and positive response to activities conducted by PACTL. In September, the Orientation for Beginning Teachers attracted 52 graduate teaching assistants and faculty with little prior teaching experience. (Most faculty development programs accept responsibility for training teaching assistants.) During the same week, sessions open to all faculty ranged in size from 65 to 90 participants. The evaluation of these sessions indicated that those in attendance wanted more activities which would address specific topics and deal with individual problems. To meet this need PACTL is offering a regular teaching/learning seminar every two weeks in which U.W.O. faculty may share with each other their expertise and experience. The first seminar on November 1 was attended by 63 faculty. Within the next few months, PACTL will be establishing an office and a small teaching resources library. Faculty members will be invited to contact the office of information or advice relating to any aspect of instruction.

Since 1977, PACTL has been working for the establishment of an instructional development program or service at Western with guaranteed funding from the university budget. The need for such a program is readily demonstrable, but its existence is presently in doubt. The principal source of funding for PACTL has been the Ontario Universities Program for Instructional Development (OUPID). In 1976-77 Western received $35,000, in 1977-78 $50,000. For the present year, PACTL is operating on a reduced grant of $10,000, in addition to approximately $13,000 in carry-over funds. During the same period the University has helped to finance PACTL through contingency grants ($8000 per year in 1977-78 and 1978-79) and through an Academic Development Fund Grant of $10,000 for 1978-79. Therefore, in a three-year period OUPID has contributed $95,000 and Western $26,000, a ratio of almost 4 to 1. This is considerably out of line with Centra's findings (p.160) that "an average of 70 percent of the total budget for development activities came from ...... institutional general funds." Within Ontario, Carleton, McMaster, Toronto and Waterloo have an on-line budgetary commitment to instructional development, ranging in 1977-78 from $15,000 at Waterloo to $85,000 at McMaster. While Western committed $8000 to instructional development activities in 1977-78, a much smaller institution, Laurentian, allotted $10,000.

These figures are not meant to suggest that we should jump on an instructional development bandwagon to pour funds into an elaborate Centre. Nor are we assuming simply that money is necessary to encourage good teaching.

PACTL remains committed to a philosophy of decentralized activity, a notion that the most effective development practices are generated from within departments or Faculties, and a belief that we have at Western experienced teachers and those with special skills who could offer assistance to others at no cost. But experience and research suggests that an effective program, even where there is high faculty involvement, requires some co-ordinating office or body, in addition to a budget for workshops, consultations and small grants for travel or individual projects. If the University of Western Ontario is committed to such a program, it will have to provide the necessary funds. OUPID has only one more year to operate under its present mandate. By 1980 it is likely that the system of institutional grants will have been discontinued, and that OUPID's functions will have been limited to a co-ordinating role involving liaison among instructional development programs at Ontario universities and provision of an information retrieval service. It is not likely that in the phasing-out year for institutional grants (1979-80), Western can expect much more than the $10,000 it received for this year. If the improvement of university instruction is to be encouraged through a professional development program, Western will have to provide not only moral, but financial support, commencing in July, 1979.

With the foregoing in mind, we make the following recommendations for consideration by your committee:

1. There should be a committee (PACTL or some other model) to make recommendations to the Provost or President regarding instructional development policies and practices at Western.

2. Based on current funding and the various activities which are presently being conducted, the Committee considers an appropriate budget to be $50,000. Upon request, our Committee will gladly submit a more detailed proposal indicating the rationale of the program and a breakdown of projected expenditures.

3. Departments and Faculties should be encouraged to promote their own instructional development activities, possibly involving the release time of selected faculty as resource persons.

4. Every attempt should be made to foster an institutional environment which encourages and formally recognizes good teaching.

5. The University should seek to identify the criteria of good teaching and to develop more effective procedures for its assessment.

6. The University should seek to ensure that effective teaching is adequately considered in promotion and tenure decisions at all levels.

7. There should be a representative of the advisory committee (#1 above) on each of the Senate committees concerned with tenure, promotions and appeals.

8. There should be also a program in which Chairmen and Deans can explore the academic and managerial responsibilities and possibilities of their positions, particularly as these relate to furthering the Instructional Development goals referred to above. (See Bergquist and Phillips, p.5, #7)

9. The personal and professional needs of faculty who wish to develop competence in new areas should be considered in the awarding of sabbaticals or other leaves.

10. Departments should be encouraged to scrutinize their programs, identify their educational objectives, and ensure that these objectives are being enacted.

11. Departments should be encouraged to provide orientation programs for graduate teaching assistants and new faculty with no prior teaching experience.

12. The University should seek to de-emphasize the rigid boundaries that separate Departments and Faculties and to develop a teaching environment in which faculty redeployment or mobility is possible. (See Faculty Development in a Time of Retrenchment, pp. 26, 67-74.)

We hope that your Committee will find these recommendations of assistance in the preparation of your report.

SUBMITTED FOR

THE PROVOST's ADVISORY COMMITTEE ON TEACHING AND LEARNING

A. Marti,
Chairman

P. Gaudet,
Co-ordinator

December 19

Commentary of the Income Tax Implications of the 'Report of the Presidential Committee on Faculty Development' by the University of Western Ontario.

The references herein are coded to the Report in red pencil.

(A) A university teacher who is "encouraged" but not "required" to attend professional meetings, conferences or workshops will not likely be permitted to deduct travel and other expenses from salary for income tax purposes. Attached is a copy of a bulletin dated March 6, 1978 which deals with this subject.

(B) Travel and other research expenses incurred during sabbatical leave are deductible from research grants for income tax purposes but not from sabbatical salary. Attached is a copy of 'Sabbatical Leave and Income Taxes' dealing with many of the relevant issues.

(C) A faculty member who is financially supported by his University for alternative training should consider the possibility that he may be classed as a student for income tax purposes and become eligible for certain student income tax benefits. See 'Income Tax and the Student' - Revenue Canada, Taxation - copy enclosed.

(D) Should this phrase not read 'in either of two ways'?

(E) Frequently, a university teacher is given permission by his University to teach a course at another location to which he is obliged to commute regularly. The teacher will likely continue on part time salary at his own University and will be reimbursed for the special course by the other institution. He may also receive an allowance for travelling and accommodation expenses from one of his employers. From an income tax point of view this is a very poor arrangement . Revenue Canada will likely take the view that since the teacher has two employers the cost of commuting between them is a personal expense and is not tax-deductible. If he is reimbursed, the expenses become a taxable benefit.

In contrast, suppose the teacher's home University makes an arrangement with the other institution that it will provide a teacher to deliver the course. The teacher is required to carry out the duties required of him by his University which will continue to pay his full salary. If the teacher is reimbursed for travel and other expenses incurred in carrying out his duties, no taxable benefit will arise. If he is obliged to pay the expenses himself they will be deductible from his employment income for tax purposes. The two institutions may make their own arrangements regarding compensation for services rendered and received without disturbing the employer-employee relationship between the teacher and his home University. He will not become an employee of the second institution.

(F) Certain research expenses are deductible from research expense allowances. A teacher's concept of what constitutes reasonable travel expenses may differ widely from that held by Revenue Canada. See 'Sabbatical Leave and Income Taxes' mentioned above.

(G) One of the most important income tax aspects pertaining to the suggested system of rotating leave will be the timing of the application of personal tax. Would a participant pay income tax on 80% of normal salary actually received in hand during each year of a five year period? Or would he pay on 100% in each of the first four years and nothing in the fifth year? In the case of the latter, it is possible that general averaging would spread the income evenly over the five years although the timing of the payment of the tax would not be evenly distributed. Furthermore, general averaging cannot be relied upon to equalize the amount of tax payable under the two arrangements. Normally, an employee declares as income only those amounts actually received by him in a year. However, paragraph 6(1)(a) of the Act requires that benefits of any kind whatever received or enjoyed by an employee in a taxation year must be included in income for that year. Amounts deposited to the credit of an individual might be viewed as a benefit enjoyed by him in the year in which the credit takes place, particularly if the funds belong to him irrevocably. It is my offhand opinion that the employee would be taxed on the 100% in each of the first four years. However, it would be mandatory that a ruling be obtained from Revenue Canada, Taxation, based upon the facts underlying the actual contractual arrangement.

Other complications may arise if a teacher changes jobs during the build-up of the deferred compensation. If he does not pay income tax on the deferred salary until it is received and if he were to leave for other employment at the end of three years of the five year cycle he might find himself taxable on his salary of the new job for the year, plus 60% of his annual salary for the previous three years. Again, general averaging would provide only partial relief.

(H) Individuals on leave of absence in order to carry on research may deduct eligible research expenses from a research grant but not from salary. Teachers on leave of absence in order to advance their education may find that their travel and expense grants will be taxable benefits. If obliged to pay such amounts personally the expenses will not be deductible from income for tax purposes.

(I) Educational leave may, or may not, be taken for the purpose of carrying on research. Sabbatical leaves are usually taken for research purposes which render travel and other costs eligible for deduction from research grants. If the purpose of a leave is to engage in studies to continue one's education rather than the conduct of research, then travel and other expenses are not deductible from income. Even expense allowances must be included in income.

If an employer clearly requires an employee to take educational instruction as a condition of employment then the reimbursement of travel expenses by the employer will not be income to the employee. Or if the employee is required to pay the expenses himself as a condition of employment then such expenses may be deducted from salary for tax purposes.

The language used in the Report to describe the educational leave program suggests that it is a discretionary election by the employee primarily for his own benefit and not an obligation imposed upon him by his employer. If this interpretation holds, all expense allowances advanced by the employer are taxable benefits and no expenses paid by the employee are tax-deductible from a salary. If the employee is classed as a student or a researcher then the rules applicable to students or researchers will apply.

(J) Again, support for costs of relocation and tuition must be considered in the light of whether the recipient is classed as a researcher or a student for tax purposes.

(K) The removal expenses of faculty members on sabbatical leave are currently tax-deductible only to a limited extent. Travel costs of the researcher are allowable deductions from research grants but not from salary. Travel expenses of the researcher's family are not allowable. If a researcher rents his residence he is taxed on his net rental income with no allowance for substitute accommodation at the research site.

(L) Moving exenses within Canada paid by employees are tax-deductible under certain conditions to employees who are transferred to new locations by their employers. If such expenses are paid by the employers they are not a taxable benefit. If a teacher were transferred from his University to another and then back again under an exchange program, the moving costs in both directions would be subject to the above rules. The limitation to moves within Canada only, is not applicable to students, where international moves are acceptable.

(M) University faculty usually teach under what is described in legal terms as a 'contract of service' and are deemed to be employees for income tax purposes. Only those expenses specifically named in Section 8 of the Income Tax Act are deductible. In contrast, if a teacher were to give a series of two or three lectures the arrangement would be described as a 'contract for services'. This compensation would be classed as business or professional income from which all related expenses, if reasonable, may be deducted including travel to and from the lecture location.

The 'fee-for-service' reference in the Report suggests a business contract (a contract for services) but the use of the term 'appointment' appears to belie this assumption since it suggests an employment arrangement (a contract of service). The income tax consequences of the distinction may be substantial because of the different expense allowances.

(N) Care should be taken to observe the technicality pertaining to the right of an employee to deduct his contributions to a registered pension plan from income. Only contributions under the plan which are retained from his remuneration by his employer are eligible.

W. Charles Hebdon
March 12, 1979

GD78-21

McGILL UNIVERSITY INTER-DEPARTMENTAL MEMORANDUM **DATE:**

TO: The Chairman,
Board of Governors.

FROM: Vice-Principal (Administration)

SUBJECT: Deferred Retirement for Academic Staff.

Included in this memorandum you will find:

a) Deferred Retirement Regulations as they presently exist.

b) Proposed Deferred Retirement Regulations as discussed and passed by Senate at its meetings on October 4th and October 18th, 1978.

Staff members presently are being considered under the old regulations. Only those who retire on August 31, 1981, et seq. will fall under the revised regulations.

I. History of Deferred Retirement at McGill

It was not until 1935 that mandatory retirement at age 65 was passed by the Board of Governors. This had the result that, in 1936, Professor Stephen Leacock was told that since he had reached the age of 65, the University could no longer use his services. Leacock's reaction to this was violent, public and long-lasting. In retrospect a retirement policy which was inflexible benefitted neither the University nor the staff member who might still be at the zenith of his powers.

Beginning January 1, 1957, a five-year experiment was begun to cover members of full-time teaching staff, based on a report of an M.A.U.T. committee which states that "compulsory retirement at age 65, could work to the disadvantage of either the University or the staff member concerned or of both, in the sense that 65 years of life span do not necessarily indicate that a man's physical and intellectual abilities have declined to the point that he is no longer likely to be capable of good teaching or research or both. At the same time it was realized that some are old, in this pejorative sense, some time before they had reached the age of 65". Expected retirement at that time was of the order of 1% of staff per annum and this rate was similar to that at other Canadian universities.

The Standing Committee established at that time consisted of 2 members of the academic staff appointed by the Principal and 2 elected by the elected members of Senate. The committee submitted a report to the Principal.

Provision was made for part-time employment (after age 65) - this to depend on a study by the Chairman and Dean to decide whether the budget of the department, the pattern of its work, and size of its establishment permitted a part-time appointment. If positive a medical report must be obtained - but no further review was necessary.

Senate Meeting - January 24, 1962

Senate agreed to continue the experiment for an additional five-year period. Between 1957-1963, out of a total of 26 reaching age 65, 7 elected to retire, 19 to be considered, and 16 were granted.

Senate Meeting - May 1967

Experimental nature discontinued. Committee to report to Senate yearly (has not been done). Committee to be as previously (2 appointed by Principal, 2 to be elected by the elected members of Senate).

Senate Meeting - September 25, 1969

Recommended system of Principal-Senate nominees not be continued, all members to be elected by Senate.

Senate Meeting - March 25, 1970

Removal of the categorical prohibition of continuance of the working period beyond age 70.

* * *

In Table I is found a statistical summary relating to retirements and deferred retirement status.

TABLE I

SUMMARY OF DATA RE DEFERRED RETIREMENTS

PERIOD	NO. REACHING AGE 65	ELECTED TO RETIRE	CONSIDERED FOR DEFERRED RETIREMENT	GRANTED
1957-63	26	7	19	16
1964-68	38	9	29	26
1969-72	39	7	32	21
1973-77	47	18	29	22 *
	150	41	109	85

NO. REACHING RETIREMENT AGE

	1978	1979	1980	1981	1982
Professor	12	7	7	11	19

Associate Professors are few in number approaching age 65. Assumption is made that if staff member has not been promoted to Full Professor - chances of Deferred Retirement Committee reacting positively would be small.

* Some of these were eventually appointed for a one-year term, rather than the usual three-year period.

II. Present Program

REGULATIONS CONCERNING THE RETIREMENT OF FULL-TIME TEACHING STAFF - (Revised Sept.1976) (Senate Document D6-12)

1. GENERAL:

1.1 The Statutory Date of Retirement for all members of the full-time Teaching Staff is at the end of the academic session in which the individual reaches the age of 65.

1.2 Article 1.3.4.4. of the McGill University Statutes reads as follows:

> "It (the Board of Governors) may extend the term of any academic member of the staff beyond the age of 65 if, in its opinion, after having received the advice of the appropriate committee of Senate, the interests of the University would thereby be served; otherwise, all members of the teaching staff shall retire at the close of the academic year in which they reach the age of 65, unless the Board of Governors, by special resolution, shall determine otherwise".

1.3 No individual can continue to hold any administrative post after this statutory date of retirement.

1.4 Retirement Options:

1.4.1 Regular

Unless notice to the contrary is given to the Secretary of the Board of Governors prior to the end of the session in which the staff member reaches the age of 63, it will be assumed that a full-time member of teaching staff wishes his employment to terminate at the end of the session in which he attains the age of 65.

1.4.2 Part-Time Appointment

An individual who would like to continue on a part-time basis only (Section 2 below) must give notice to the Secretary of the Board of Governors through the Dean of his Faculty prior to the end of the session in which he reaches the age of 63.

1.4.3 Deferred Retirement

An individual who wishes to be considered for deferred retirement for a three-year period (Section 3 below) must give such notice to the Secretary of the Board of Governors through the Dean of his Faculty prior to the end of the session in which he reaches the age of 63.

2. PART-TIME RETIREMENT APPOINTMENTS:

2.1 In those cases where the individual would like to be appointed after the age of 65 on a part-time (but not on a full-time) basis, the proposal shall first be studied by the Chairman of the Department (or Director of the School) and the Dean of the Faculty, to decide whether in view of the budget of the Department, the pattern of its work, and the size of its establishment,such a part-time appointment is possible and desirable.

2.2 In those cases where such an appointment is recommended by the Dean after such consultation the individual shall be required to undergo a medical examination.

2.3 The individual may elect either to receive the monthly annuities to which he is entitled or to defer payments to some future date. If he elects to defer payments to some future date, he may further elect to continue to make Required Contributions to the Pension Plan during the period of postponement, in which event the University will also continue to make its required Regular Contributions.

2.4 The maximum salary to be paid will be not more than two-thirds of the final year's salary on a full-time basis. Any annual increment granted for the ensuing year will be added to this base salary.

3. DEFERRED RETIREMENT APPOINTMENTS:

3.1 The Standing Committee on Deferred Retirements is composed of four members of the academic staff elected by the elected staff members of Senate. The Committee elects its own Chairman from among its members.

3.2 The Secretary of the Board of Governors shall inform the Standing Committee at the beginning of each session of the names of staff who will reach the age of 64 during that session, and who have elected to be considered for deferred retirement. The Standing Committee being informed that the Staff Member wishes to continue full-time appointment to age 68, shall be required, during the session in which such a full-time member of the teaching staff reaches the age of 64, to review his records and potentialities. It shall obtain a medical report from a physician appointed for that purpose by the University, and shall decide whether, from the point of view of the Staff Member's health and physical condition, it is desirable for him to continue on a full-time basis. Similarly, it shall consult with the Dean of the Faculty concerned, the Chairman of the Department (or Director of the School) and the Staff Member involved. It shall be free to seek information from any other source which it considers to be useful, in assessing the desirability to the University of having the Staff Member continue to age 68.

3.3 The Standing Committee shall inform itself, first, as to whether at the time of its investigation the individual is a good teacher who can be expected to carry the full normal load of responsibilities in a manner consistent with the best traditions of the University;

secondly, whether the Staff member is alert to current research Scholarship and recent developments in his field;

and thirdly, whether there is, on overall appraisal, a definite advantage to the University in the staff member's continuing to age 68.

* 3.5 After reviewing all the evidence, the Committee shall transmit to the Principal, for submission to the Board of Governors, a written report on each individual stating either that he should continue until the age of 68 or that, in the interest of the University or his own interest, he should

421

(* No 3.4 on original document D-6-12)

retire at 65. When The Committee is divided, both majority and minority reports must be presented in writing.

3.6 In the case of any member of the full-time teaching staff between the age of 65 and 68 the Committee shall be required to review its earlier decision, and obtain a new medical report (as well as other relevant information) whenever the Dean of the Faculty or the Chairman of the Department reports to the Principal that the individual is no longer able to carry satisfactorily a full-time teaching schedule. The decision after such review shall be sent to the Principal in writing, for transmission to the Board of Governors, with majority and minority reports if necessary.

3.7 The supplementary sum, if any, described in the Pension Plan Document, to be contributed by the University to the individual's pension, will be calculated at the date of statutory retirement and will not increase or diminish as a result of subsequent employment.

3.8 The annuity contract will, however, be carried on, with contributions from the individual and the University, in the case of all persons who continue in full-time employment after 65 - so that the amount of "earned" pension will increase in such cases.

III Comments on Present Program

Between 1978-1982, 54 staff members (full professors) will reach the age of 65 out of a total of 1463 (present figure) full-time academic staff. Assuming no deaths or resignations - and that all will elect to be considered, this represents an average of 11 per year, i.e. less than 1% of the staff (equivalent to the 1957 figure). It should be remembered, however, that this would represent more than 1% of the academic salary budget (since these are relatively highly-paid staff members). While this program hardly represents financial catastrophe for the University, nevertheless it should be borne in mind that it may result in the termination in some areas of junior staff positions. The cuts occurring in some Faculty budgets now, due to shrinking student enrolment, are of the same order as the above and occasion grave difficulties in some areas.

However, the program should be judged on its merits. The program is a "humane" one and has enabled the University to retain the service of many of its "stars". It was instituted well in advance of current thinking in the U.S.A. and Canada. Recent legislation in the U.S.A., for example, forbids mandatory retirement before age 70 (except, until 1981, for university academic staff and executives of corporations) and similar legislation in Canada is certain to follow.

The present system has served well throughout the years since its inception. Nevertheless it has been criticized rightly or wrongly on several grounds:-

i) there is an implied threat to the continuation of the scheme, because of shrinking enrolments and resulting university financial problems.

ii) lack of flexibility. The Committee on Deferred Retirements could recommend either a three year extension or none.

iii) inequitable treatment has been imputed.

iv) the Committee has never come to grips with the problem as to whether financial concerns (on the part of the University or the individual) should play a role in its deliberations.

IV The problem, in light of future university needs has been examined by a joint committee of Senate and the Budget Planning Group. The committee, composed of:

J.Armour
R. E. Bell
A. Deutsch
J.F.Harrod
I. McKinnon (Resource Person)
L. Yaffe - Chairman

has suggested revisions to the regulations which, after discussion with M.A.U.T., have been approved in amended form by Senate and are now being brought to the Board of Governors for final approval.

The Committee recognized four different cases:

1. Early Retirement: - (The Committee is addressing itself to this problem and will report to Senate and the Board of Governors shortly).
2. "Normal" Retirement at age 65.
3. Deferred Retirement:(the subject of this document).
4. Post-Retirement Appointments: - (These could occur at any age after 60, as long as the academic has "retired" from the University.)

V Proposed Program

REGULATIONS CONCERNING DEFERRED RETIREMENT APPOINTMENTS (Senate Document D8-28)

1. Federal taxation provisions require that a prospective pensioner cannot delay acceptance of his/her pension (either from the pension fund or RRSP) beyond the age of 71 years. Thus any deferred retirement scheme, were it to extend beyond age 71 would, from the taxation point of view, be very unattractive to the staff member. Thus, it is proposed that any deferred retirement scheme end at age 71. Post-retirement appointments can take over at this stage, provided mutual agreement between the staff member and department has been reached.

2. The former "normal retirement age" at 65 is replaced as follows:

2.1 All university teaching appointments terminate at age 65, including those made "without term" (i.e. with tenure). No undertaking by any university officer shall have any contrary effect.

2.2 The staff member's supplemental pension (if any, under the minimum formula benefit provision) shall be calculated as of the 31st of August following attainment of age 65. This supplemental pension, together with the basic pension as of the same date, will be actuarially increased according to the period of deferral to take into account decreased life expectancy and additional earnings. In addition, both the University and the staff member will continue to make regular pension contributions during the period of deferred retirement which will be applied to purchase additional amounts of pension.

2.3 A staff member on deferred retirement must defer commencement of pension at least to his/her date of retirement. Thereafter, he/she may elect to further defer the pension up to the legal limit of age 71, taking advantage of actuarial increases resulting from decreased life expectancy and additional earnings.

3. Deferred Retirement after age 65

3.1 During the penultimate year before age 65, every member of the academic teaching staff shall be invited by the Secretary-General to apply for reappointment at the same rank in the same academic unit, for a term not to exceed three years. If granted, the appointment may be further renewed at the same rank, one year at a time until age 71.

A medical certificate shall be required from a physician, appointed by the University, on each reappointment or renewal.

3.2 The obligation of the department/faculty shall consist of a full and fair consideration of the staff member's application for reappointment.

The examination of the case should use as one of the criteria whether the academic benefits derived would not be less than those expected by the appointment or renewal of younger staff. A clear statement regarding this criterion must be made by the department/faculty to the Dean for approval by the appropriate faculty mechanism.

3.3 A staff member who feels he/she has not received this full and fair consideration is entitled to appeal to the Senate Committee on Deferred Retirements (see section 4 below).

3.4 Staff members on deferred retirement shall carry full normal responsibility for teaching and research, but shall not hold any administrative appointments. Every such staff member shall have full departmental and faculty voting privileges, etc. and shall be reckoned as a full-time member of the academic unit, on the unit's budget.

3.5 The salary of such a staff member shall be fixed at 80% of the salary immediately before the age of 65. It shall be adjusted thereafter only by cost-of-living adjustments to the extent that these exceed 3.75% per annum.

4. The Senate Committee on Deferred Retirements shall have general oversight of the above provisions, and shall advise the Principal on individual cases. The Principal shall be bound to present the reports of this Committee promptly to the Board. The Board shall solicit the Principal's opinion and make a decision on each case. The Committee's functions are described more particularly as follows.

4.1 The staff member's application for the initial deferred retirement appointment of section 3.1 is addressed in the first instance to the Senate Committee on Deferred Retirements (SCDR). If the department and faculty are willing to make the appointment, the SCDR need only satisfy itself that the medical certificate is in order, that the department and faculty have made their decision in full knowledge of and compliance with these regulations, and that they propose to appoint the staff member under normal academic and budgetary conditions.

4.2 If the academic unit does not recommend the appointment of the applicant as requested, then the SCDR will review the documents with the right to consultation with other university personnel (e.g. Budget Planning Group or the Academic Policy Committee) to ascertain that there exist good academic and/or budgetary reasons for non-appointment. Following this review the SCDR has the right to submit a dissenting recommendation.

4.3 If either the staff member or the academic unit feels that an injustice is being committed, appeal may be made to the SCDR requesting an opportunity to appear before the SCDR and present the case anew. The SCDR shall determine its own simple procedures for such an appeal, which may include consultation with other individuals and bodies. The object of the procedure is to determine whether full and fair consideration has been given. (The staff member's right is consideration for the position, not the position itself).

The criteria of the old regulations are still suitable (that the staff member is a good teacher who can carry a full load; that he/she is alert to and contributes to current research and scholarship; that there is on overall appraisal a definite advantage to the University in the appointment).

4.4 After the end of the initial deferred retirement appointment, decisions about renewals of the appointment are entirely at the discretion of the academic unit, and are appealable to the SCDR. The medical certificate is still required. The scheme ends positively at age 71.

4.5 The Senate Committee on Deferred Retirements shall report annually to Senate.

VI Essential Difference Between Present & Proposed Program

a) Decision re granting of deferred retirement to be made by academic unit (not university committee) which both knows the situation intimately and has to live with the consequences.

b) Deferred retirement may be granted for periods of 1, 2 and 3 years (only 3 years previously could be recommended by the Committee) and can now be renewed to age 71, one year at a time.

c) The Senate Committee on Deferred Retirements will act only as an appeal committee having general oversight of the procedures.

d) The salary of the staff member is fixed for the deferred retirement period at 80% of the immediate pre-65 salary, adjustable only by any cost-of-living adjustments made to the extent that these exceed 3.75% per annum (instead of normal salary subject to normal increases).

The above provision leaves some flexibility to the academic unit re hiring, non-terminating of younger staff, etc.

L. Yaffe

L. Yaffe

CAUT BULLETIN ACPU

September/septembre, 1980
Vol. 27, No. 4

ECONOMIC BENEFITS. AVANTAGES ECONOMIQUES

The Elimination of Mandatory Retirement: An Economic Perspective. J. E. Pesando Discussion Paper Series. Ontario Economic Council, pp. 24, 1979. Ontario Government Bookstore, $1.00

One in Three, Pensions for Canadians to 2030. Economic Council of Canada, pp. 144, 1979. Canadian Government Publishing Centre, $6.25

Retirement Without Tears. The Report of the Special Senate Committee on Retirement Age Policies. Canadian Government Publishing Centre, pp. 152, 1979, $5.95

Retirement and pensions

by E.D. Maher

All three of these documents appeared in late 1979 while three more are due in 1980. The latter will come from the Conference Board, the Federal Government and an Ontario Royal Commission. They will be reviewed in a subsequent issue of the *Bulletin*.

The Senate Committee conducted public hearings and the CAUT submitted a brief to the Committee. Professor Pesando, who was a consultant to the Economic Council of Canada (ECC) in its study, states that his paper was

> ...inspired by the briefs submitted to the Canadian Senate Committee, together with the testimony presented in the formal hearings. Confusion still seems to exist, between the arguments based on human rights and those based on economics and, secondly, on the economic issues themselves.

The Senate Committee Report deals not only with the age of retirement, but also with a variety of pension matters and it has a strong human rights orientation. The ECC Report also deals both with the age of retirement and with a variety of pension matters, but it has a much stronger economic orientation. It examines the likely changes in age distribution of the population over the next 50 years on the basis of a variety of assumptions and considers the likely economic consequences of these changes. The Council emphasizes that pension costs will be increasing well into the next century partly because the percentage of people over 65 will be rising, partly because a higher percentage of the population will be covered by pension plans, and partly because many existing plans are likely to be improved. Professor Pesando confines himself to the two issues of compulsory retirement solely for age and the indexing of pensions. The ECC study is a much more thorough job than the Senate Committee's and it supports its positions very much better; clearly the ECC had more resources available to them. With a larger format and smaller type it is at least twice as long as the Senate Committee's report.

Each of the documents provides strong support for one or more of the positions with respect to pensions and retirement taken by CAUT over the years. All three documents are important for association members concerned with pensions.

The general thrust of the Senate Committee and the Economic Council documents is that there should be greater flexibility for people to choose when to retire, although they take opposite positions with respect to whether governments should prohibit forced retirement solely for age. The emphasis tends to be on facilitating, and even encouraging continued employment beyond "normal" retirement age for those who wish to do so rather than on encouraging early retirement.

Mandatory retirement

CAUT supported the abolition of mandatory retirement solely for age although it indicated in its submission that raising the minimum permussible age to 70 would also be an acceptable solution provided that 65 was retained as the "normal" retirement age — i.e. that pension plans would continue to be designed to provide full pensions at that age for those who wished to retire then. The Senate Committee strongly supports the prohibition of mandatory retirement solely on account of age on human rights grounds and specifies that there should be no exceptions because of pension plan provisions — exceptions that are now common in human rights legislation. Pesando argues equally strongly against any legislative interference in the matter and the ECC takes the same position. Both take the view that the present system — where retirement is essentially automatic at a specified age (usually 65) — is very economical to administer. If this were to be prohibited then some system of judgment would have to be introduced to force the retirement of people whose performance was considered unsatisfactory but who would not retire willingly. Whether this would, in fact, be a significantly more costly procedure would seem to depend on whether a significant number of people would in fact resist retirement even though their competence was declining. All the reports recognize that relatively little is yet known about when people would choose to retire voluntarily. Health and pension adequacy seem to be the main factors.

However, certain suggestions are made to facilitate early retirement. The Senate Committee recommends that the Canada/Quebec Pension Plan (CQPP) ought to be available as early as age 60 on an actuarially reduced basis. In the U.S. Social Security is available at 62 on that basis. The Council suggests that the standards for a CQPP disability pension ought to be eased as people get older.

Basically there are two social issues — freedom of choice for the individual and the economic consequences for the economy. There seems to be general agreement that people should have more freedom of choice about when they would retire but only the Senate Committee would strengthen this freedom of choice by legislation. The Council suggests that mandatory retirement for age will probably wither away soon in any case.

Pesando stresses that pension costs will not be significantly affected if people continue to work after age 65, at least under our present pension arrangements. OAS (Old Age Security) is payable automatically at 65 and almost everyone will find it financially attractive to begin CQPP at 65. If private plans continue to be funded on the basis of "normal" retirement at 65 with pensions being increased further for those who work beyond this age then again there would be no reduction in cost. In the U.S. Social Security is basically means-tested so that those who continue to work do not also receive their pension; thus cost declines if people work longer.

Pesando does not accept the argument that job opportunities would be reduced if people could postpone their retirement. However he is dealing with the economy as a whole and does not consider the problems that might be faced by a particular employer — e.g. a university — where retirements might be very few for substantial periods of time because of a skewed age distribution. The Senate Committee and the Council emphasize the desirability of encouraging arrangements that would permit gradual retirement through reduced work plans rather than the typical present all or nothing arrangements. Both Pesando and the Council seem to overlook the fact that such arrangements are more likely to be encouraged if employers can no longer arbitrarily retire people solely on the basis of age.

Indexing

All reports recognize that many people have inadequate pension plans or that because of the possibility of inflation they can not be certain that their pensions will continue to be adequate throughout retirement. Pesando summarizes his usual logical arguments in favour of indexing of pension benefits. Indexing is strongly supported by the other two reports. Pesando and the Council both recognize that private employers can not assume an open-ended obligation for indexing and advocate that the government should sell indexed annuities for that purpose to registered pension funds and for Registered Retirement Savings Plans. The Council suggests restricting such annuities to pension plans that meet certain minimum standards of vesting and portability, but three Council members consider that this pressure will be insufficient to bring about much improvement in private pensions. The Council would also limit indexed annuities to some fraction of the average industrial wage although since, as Pesando correctly shows, indexing imposes no burden on the community as a whole (so long as real incomes of workers are not falling) there seems to be no justification for such a limitation. Limiting such annuities to registered plans and RRSPs automatically restricts them to the maximum pension that can be accumulated tax-free under the income tax regulations.

The Senate Committee is not optimistic about improving the coverage of private plans and getting them fully indexed so it opts for increasing the CQPP coverage by 50%. While it also recommends doubling the contribution rates there is no evidence of any formal relationship between the contribution rates proposed and the benefits to be paid. The Council favours full funding of all government plans and investment of these funds through the market. It would also favour raising the limit on investment in foreign securities permitted to registered pension plans. For opposing views on the merits of funding versus pay-as-you-go see "Why Social Security is in Trouble" by Nathan Keyfitz in *The Public Interest* — No. 58, Winter 1980 — and "Myths My Grandpa Taught Me" by Nicholas A. Barr in *The Three Banks Review* — No. 124, December 1979.

The Council examined the Canadian Labour Congress proposal to double the CQPP coverage. Particularly in view of its desire to see the CQPP fully funded, the Council was concerned about the volume of investment funds that would then be under direct government control. Thus, they concluded that any increase ought to be in the private sector and considered that a system such as that recently introduced in Britain might be appropriate. There employers are now permitted to opt out of at least part of the state system provided they offer pensions at least as good as provided by the state system. The state assumes responsibility for indexing the private employment pension beyond 5% per year. Although the Council looks favourably on such a system it does not specifically recommend that steps be taken to implement it and three Council members wrote dissents indicating that some positive recommendation to improve pensions should have been made.

Vesting and portability

CAUT recommended the full and immediate vesting* of employer contributions to pension plans and the Senate Committee came very close to accepting this view by recommending full vesting after one year. The Council's position was rather less satisfactory since it would accept graduated vesting at 20% per year thus requiring five years for full vesting. CAUT emphasized transferability within the university system. The Senate Committee recommends transferring vested contributions to the CQPP when an employee leaves a firm. The Council recommends that minimum vesting and portability requirements be a condition of qualifying for indexed annuities. It also recognizes that in the case of younger employees their own contributions may more than pay for the value of the vested deferred pension they would qualify for when leaving an employer and properly recommends that any such excess be refunded to them.

Treatment of women

CAUT recommended that contributions and benefits be equal for men and women but the Senate Committee was apparently unimpressed since they recommend only

> ...that any unfair discrimination against women in the pension field not based on accepted and sound actuarial principles should be vigorously attacked by the provincial and federal authorities responsible for human rights.

The point that seems to be missed is that since employment pension plans are generally compulsory, they have some of the characteristics of social insurance and the basic objective of such insurance is to provide results where appropriate that differ from what would be obtained independently. The Council does not deal with the point at all. In its section on "The Treatment of Women" while recognizing that large numbers of women are not adequately provided for at present, it states that it would be "presumptuous" of it to make any recommendations at this time since its background studies were not adequate for that purpose and

> ...some of the problems can be traced to wider questions concerning the position of women in the economy in general.

They do, however, recommend that family allowance recipients be permitted to drop out the years when their children are under seven for purposes of CQPP calculations. They also discuss, without making recommendations, some of the possible alterations that might be made in pension rules to provide for survivors, marriage breakup etc. The Senate Committee recommends that survivor benefits be required in pension plans and that there be equal sharing of pension benefits between spouses.

Plan administration

CAUT did not make any recommendations with respect to pension plan administration and disclosure. The Council recommends that pension benefit acts should require representation of plan beneficiaries as well as of sponsors on advisory committees and that beneficiaries should be entitled to full disclosure which would include the plan text, portfolio composition, actuarial evaluations and individual benefit statements, along the lines already recently provided for in Quebec. The Senate Committee also supports full disclosure and recommends certain disclosures with respect to RRSPs.

Prof. Maher is with the Department of Business Administration at the University of New Brunswick and is a consultant to the Economic Benefits Committee of CAUT.

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*Vesting indicates an ownership right to contributions made, or benefits purchased, by an employer. An employee is always entitled to his own contributions, but partial or full vesting of employer contributions usually depends on length of service.